



PROJECT CERTIFICATION GUIDE

10-22-08

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TABLE OF CONTENTS

FOREWORD	vi
SECTION 1 INTRODUCTION	1
1.1 Purpose of this Guide	1
1.2 About the Division of the State Architect (DSA)	1
1.3 Project Plan Review and Approval Phase	1
1.3.1 DSA Black and Red Files	
1.3.2 Plan Check Review and Approval	
1.4 Project Construction Phase	1
1.5 Project Closeout Phase	2
➤ What is Project Closeout?	
➤ What is Project Certification?	
➤ Why is Certification Important?	
1.5.1 Initiation of Project Closing	
1.5.2 DSA Generates a 90 Day Letter	
1.5.3 DSA Closes the Project File	
1.6 Project Closeout Letters	3
1.6.1 Closeout with Certification (#1 Letter)	
1.6.2 Certificate of Compliance without Receipt of All Documents (#2 Letter)	
1.6.3 Closeout without Certification (Exceptions) (#3 or #3A Letter)	
1.6.4 Closeout without Certification (Deficiencies) (#4 Letter)	
1.6.5 Cancelled Projects (Cancelled Letter)	
1.6.6 Voided Projects (Void Letter)	
1.6.7 Closing Letter Types	
1.7 Closeout Letter - Example	5
1.8 Closeout Process Flowchart	6
SECTION 2 RE-EXAMINATION OF CLOSED FILES (RE-OPENING)	7
2.1 General Information – Requirements and Process	7
SECTION 3 CONTACTING DSA	9
3.1 General	9
3.1.1 Administrative Questions	
3.1.2 Technical Questions	
3.1.3 Archive Requests	
3.1.4 Escalating Issues	
SECTION 4 DOCUMENTS REQUIRED FOR PROJECT CERTIFICATION	11
4.1 General	11
4.2 Signatures on Documents	11
4.3 DSA-1 (Application for Approval of Plans and Specifications)	11
4.3.1 DSA Form 1 – Example	12
4.4 DSA-108 (Delegation of Responsibility)	14
4.4.1 DSA-108 – Example	14

4.5	DSA-102 (Contract Information).....	15
4.5.1	Requirements	
4.5.2	DSA-102 (Annotated) – Example	16
4.5.3	DSA-102 (with Multi-prime Attachment) – Example	17
4.6	DSA-291 (Laboratory Verified Report)	19
4.7	DSA-292 (Special Inspector Verified Report).....	20
4.7.1	DSA-292 – Example	21
4.8	DSA-293 (Geotechnical Verified Report)	22
4.8.1	Customized Narrative Letter– Example	23
4.9	DSA-6 (Inspector, Contractor and Design Professional Verified Reports)	24
4.9.1	Required DSA-6 and DSA-6 A/E Form Information	
4.9.2	DSA-6 – Example	25
4.9.3	DSA-6 A/E – Example	26
4.10	Notice of Completion (NOC).....	27
4.10.1	Acceptable Forms of NOC	
4.10.2	Required Information	
4.10.3	Notice of Completion – Example	28
4.11	DSA-102/Change Order/DSA-6 Interdependencies.....	29
4.12	Change Orders.....	29
4.12.1	Change Order Transmittal Memo – Example	30
4.12.2	Change Order – Example	31
4.13	Deferred Approvals	33
4.13.1	Deferred Approval Transmittal Memo – Example	34
4.14	Addenda.....	35
4.14.1	Addendum Transmittal Memo – Example	36
4.15	Revisions.....	37
4.15.1	Revision Transmittal Memo – Example	38
4.16	Fees	39
4.16.1	Original Project Application Fees (70/30 split)	
4.16.2	Additional Fees	
4.16.3	Further Fees	
4.16.4	Fees for Prorated DSA Application Numbers	
4.16.5	Unpaid Invoice – Example	41
4.16.6	Paid Invoice – Example	42

SECTION 5 RESOLUTIONS AND STRATEGIES FOR PROJECT CERTIFICATION 43

5.1	General Discussion	43
5.2	Best Practices	43
5.3	School District Participation.....	44
5.4	Determining Project Certification Status.....	44
5.5	Obtaining Project Documents and Information.....	44
5.5.1	Obtaining documents from DSA	
5.5.2	Obtaining Documents from Others	
5.6	Project Construction Scope Not Completed.....	45
5.6.1	Completion of Scope	
5.7	Construction Deficiencies.....	46
5.8	Missing DSA-102 (Contract Information).....	46
5.9	Missing or Incomplete DSA-291 (Laboratory Verified Report)	47
5.10	Missing or Incomplete DSA-292 (Special Inspector Verified Report).....	48
5.11	Missing or Incomplete DSA-293 (Geotechnical Verified Report)	50

5.12	Missing or Incomplete DSA-6, DSA-6 A/E (Verified Reports)	51
5.12.1	DSA-6 (Project Inspector)	
5.12.2	DSA-6 (Contractor(s))	
5.12.3	DSA-6 A/E (Design Professionals)	
5.13	Missing Notice of Completion (NOC).....	54
5.14	Missing Approved Change Orders	54
5.15	Missing Approved Deferred Approval.....	55
5.16	Missing Approved Addenda.....	56
5.17	Missing Approved Revisions	56
5.18	Missing Fees	57
5.19	Voided and/or Cancelled Applications (Projects)	57
5.19.1	Project approved by DSA prior to cancellation or voiding, and construction started within 4 years of DSA project approval	
5.19.2	Project approved by DSA prior to cancellation or voiding and construction started after 4 years of DSA project approval	
5.19.3	Project never approved by DSA prior to the application Cancellation or voidance	
5.20	Missing DSA-5 Form (Application for DSA Approval of an Inspector).....	58
5.21	Testing and Inspection Form (T&I Form).....	59
5.22	Materials	59
5.22.1	Concrete	
5.22.2	Masonry	
5.22.3	Wood	
5.22.4	Steel	
SECTION 6	UNIQUE STRUCTURES	63
6.1	General.....	63
6.2	Free Standing Signs, Scoreboards, Fencing and Non-Retaining Walls	63
6.3	Relocatable Buildings (one story modular relocatable buildings)	63
6.3.1	Types of relocatable buildings	
6.3.2	Inspection requirements	
6.3.3	Relocatable building numbering	
6.3.4	DSA-6 requirements	
6.3.5	Documentation required for DSA certification	
6.3.6	Relocatable buildings constructed without DSA approval	
6.4	Bleachers.....	66
6.4.1	Indoor folding (telescoping) bleachers	
6.4.2	Outdoor bleachers	
APPENDIX A:	On-Line Resources.....	69
APPENDIX B:	Relocatable Buildings	74
APPENDIX C:	DSA File Organization	75
APPENDIX D:	Glossary of Terms	77
APPENDIX E:	IR A-2	81

FOREWORD

This document provides a foundational guide for successful certification of projects previously closed without DSA certification. The goal of this guide is to provide information, procedures and concepts that lead to project certification and that promote consistency between DSA regional offices.

This guide is intended to be used for projects constructed prior to January 1, 2007 and that have been closed by DSA without certification. This guide cannot possibly address all scenarios or specific situations encountered during the closeout process. In addition to the guidance this manual provides, experience and analytical skills are essential when determining appropriate actions necessary to obtain project certification.

Note: This manual is designed to be printed double-sided in accordance with the DGS Sustainable Copy Paper Policy (see the [DGS Manual, Section 1810](#) and [DGS Administrative Order 06-04](#)).

SECTION 1 - INTRODUCTION

1.1 PURPOSE OF THIS GUIDE

The purpose of this guide is to provide information, procedures and concepts that lead to project certification and that promote consistency between DSA regional offices. It is the intent this guide will be used by all stakeholders involved with DSA project certification.

1.2 ABOUT THE DIVISION OF THE STATE ARCHITECT (DSA)

DSA provides design and construction oversight for K–12 Schools, Community Colleges and State-Owned Essential Services Facilities. DSA specifically regulates building code and education code compliance for:

- Structural Safety (SS)
- Fire & Life Safety (FLS)
- Accessibility (ACS)

DSA has four regional offices:

- Oakland (Area 01)
- Sacramento (Area 02)
- Los Angeles (Area 03)
- San Diego (Area 04).

1.3 PROJECT PLAN REVIEW AND APPROVAL PHASE

The plan review and approval process occurs before any construction takes place. As a result of the plan review and approval process, DSA project files (physical files) are produced and eTracker and IMS database records are created.

1.3.1 DSA Black and Red Files

Physical files are created and are organized as follows:

- The red file(s) contain plan check documents and technical construction documents
- The black file contains administrative forms and documents

1.3.2 Plan Check Review and Approval

The Plan Check process is initiated when the applicant files a DSA-1 application form and submits plans for review and approval. After the plan check process is complete, an Approval of Plans letter is issued and the construction phase can begin.

1.4 PROJECT CONSTRUCTION PHASE

The District Structural Engineer (DSE), also known as a Field Engineer, provides oversight during construction by providing supervision of the project inspector, reviewing administrative and technical documents and by making periodic visits to the construction site.

During the construction phase, many administrative and technical documents are generated and submitted to DSA, including:

- DSA-5: Inspector Qualification Form
- DSA-102: Contract Information Form

Change orders, addenda, deferred approvals, and revisions
Inspectors' semi-monthly reports
Construction deviation notices
Lab test reports
Special inspection reports
FCDs (Field Change Documents)
Correspondence

1.5 PROJECT CLOSEOUT PHASE

What is Project Closeout?

Project closeout is the process that DSA uses to determine project compliance with the codes and regulations governing school construction. Project closeout consists of examination of specific project files for documents required to be submitted before, during and after construction and to determine if outstanding issues have been resolved. After the file is examined, the project file is closed either with certification or without certification. After the project is closed the files are sent to State Archives.

What is Project Certification?

- Project certification is a letter issued by DSA certifying that the building project has been completed in accordance with the requirements as to the safety of design and construction pursuant to Education Code Sections 17280-17316 and 81130-81147

Why is Certification Important?

- Provides a method to determine the safety of school construction
- School Board members may be personally liable for projects until certified
- DSA will be unable to approve plans affecting uncertified construction at any time in the future

1.5.1 Initiation of Project Closing

DSA initiates the closing of projects. The following causes closing initiation (90 day closing letter to be issued):

- The DSA District Engineer (DSE) determines the project is essentially complete. Essentially complete does not necessarily mean 100% complete. There may still be punch-list items pending. If the contractor is not fully mobilized on the site, then the project may be considered essentially complete.
- The project becomes occupied. The DSE is expected to initiate the closing process within six (6) months of occupancy.
- Construction stops for one year or more.

1.5.2 DSA Generates a 90 Day Letter

After DSA examines a project file and determines documents required for certification are missing, DSA issues a 90 day letter to the Architect and School District. The letter requests that all outstanding requirements and documents be submitted to DSA within a 90 day period to allow DSA to certify the application. The letter includes a list of required documents that have been received and those that are outstanding. The list may (or may

not) include the following markers: (if the markers are not included then any document listed should be considered as not received by DSA).

- RR which indicates the document is “required and received” by DSA
- RM which indicates the document is “required but missing” and therefore must be submitted in order to certify the project.

1.5.3 DSA Closes the Project File

When the 90-day period has expired, DSA again examines the project file to determine if the missing documents have been submitted and all outstanding issues have been appropriately addressed. All outstanding documents and issues must be resolved prior to DSA’s issuance of a letter of certification. DSA then closes the project file either with certification or without certification and issues a closeout letter to the District and copies to the Architect.

1.6 PROJECT CLOSEOUT LETTERS

Final project closeout options are as follows:

1. Closeout with Certification (#1 Letter)
2. Certificate of Compliance without Receipt of All Documents (#2 Letter)
3. Closeout without Certification – Exceptions or Unpaid Fees (#3 or #3a Letter)
4. Closeout without Certification – Deficiencies (#4 Letter)
5. Cancelled
6. Void

1.6.1 Closeout with Certification (#1 letter)

Upon satisfactory completion of construction, and receipt of all required documents, DSA issues a Certificate of Compliance to the school district. This letter is evidence that construction conforms to applicable requirements of the Education Code. Any alternate documents submitted in lieu of the “required documents” results in the issuance of a #2 letter

1.6.2 Certificate of Compliance without Receipt of All Documents (#2 letter)

As permitted under Education Code Sections 17315 and 81147; alternate procedures and/or alternate documents may be utilized in the efforts to issue a certification of compliance. These alternates may be utilized when it is deemed impossible to collect all the required documents due to incapacitating illness, death or default of any persons responsible for filing reports. This process requires DSA approval, may not be initiated until all efforts to obtain the required documents have failed and must be requested by the school district. Further review and fees may be necessary. Costs incurred by DSA are payable by the district. See DSA IR A-2 in Appendix E for further discussion and Sections 5 and 6 of this guide for potential resolutions, options and strategies.

1.6.3 Closeout without Certification (Exceptions) (#3 or #3A letter)

When DSA cannot verify that construction has been completed in accordance with the applicable codes and regulations, the project is closed without certification. This may happen because of reported deviations in the construction, because the required minimum scope was not constructed, because required documentation was not properly completed, was not received by DSA or is otherwise missing and/or required further fees owed to DSA have not been paid.

1.6.4 Closeout without Certification (Deficiencies) (#4 letter)

When there are unresolved code or safety issues the project will be closed without certification.

1.6.5 Cancelled Projects (Cancelled letter)

DSA issues cancellation of projects, not constructed, when requested by the district. Cancelled Projects can be reinstated by filing a new application and fee in accordance with Title 24, Part 1, Section 4-315 (b). Plans, specifications and design shall comply with the requirements of the current California Building Standard Code.

1.6.6 Voided projects (Void letter)

DSA voids projects under certain circumstances:

- More than six (6) months has passed from the date of return of checked plans to the architect or engineer without the corrected plans or corrected original plans filed with DSA for backcheck. DSA may, upon request, approve a six month extension. Backcheck must be completed within two months of initiation.
- More than four (4) years has passed from the date of DSA plan approval without the start of construction (No extension are allowed).

Voided Projects can be reinstated by filing a new application and fee in accordance with Title 24, Part 1, Section 4-315 (b). Plans, specifications and design shall comply with the requirements of the current California Building Standard Code. (See DSA IR A-17)


1.6.7 Closing Letter Types

The following table lists the closeout options and corresponding certification letter types

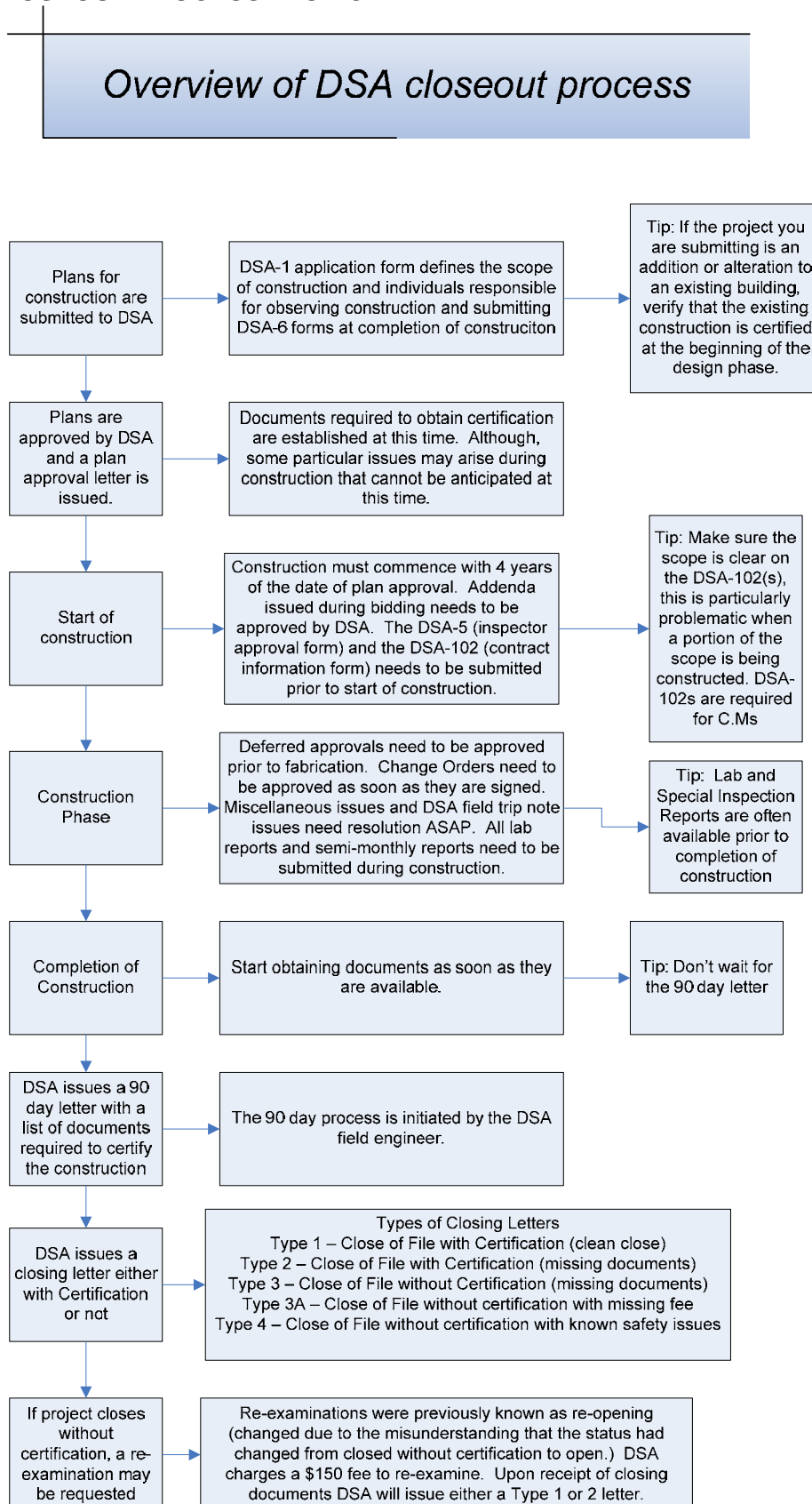
Closeout Option	Corresponding Certification Letter Type	Additional Guidance
1	Certification & Close of File	All required documents received, all fees paid
2	Certification & Close of File Per EDU Code 39157(b)	Caused by any alternate documentation submitted and accepted in lieu of the "required documents".
3	Close of File w/out Certification -- Exceptions	Missing documents prevent certification.
3a	Close of File w/out Certification – Unpaid Fees	Unpaid Fees
4	Close of File w/out Certification -- Deficiencies	Safety or code deficiencies.
Cancel	Close of File w/out Certification – Cancellation of the DSA Application Number	Application cancelled by the district
Void	Close of File w/out Certification –Void DSA Application Number is Void	Application voided by DSA

1.7 EXAMPLE OF CLOSEOUT LETTER

Below is an example of a letter generated for Closeout with Certification (also referred to as a Number One Letter).

	State of California ■ Arnold Schwarzenegger, Governor State and Consumer Services Agency DEPARTMENT OF GENERAL SERVICES Division of the State Architect – Sacramento Office
1/2/2008	CERTIFICATION & CLOSE OF FILE
Dr. Magdalena Mejia Sacramento City Unified School District 425 1 st Street Sacramento, CA 95818	
Project:	WASHINGTON ELEMENTARY
Scope:	CONSTRUCTION OF ADMINISTRATION BLDG. A, (6) CLASSROOM BLDGS. (B TO G), MULTI-USE BLDG. H, AND (6) CLASSROOM BLDGS. (24'X40' RELOCATABLES) AND RELOCATION OF 2 TOILET BLDGS. (12'X40')
Application #:	02-108792
File #:	34-53
Dear DR. MEJIA:	
The Department of General Services' records indicate that the construction of the referenced project has been completed in accordance with design documents approved by the Department, and that all the Verified Reports covering the construction have been received.	
Therefore, the Department of General Services certifies as follows:	
This project is in compliance with California State regulations as to the safety of design and construction of public schools, and for the accommodation of persons with disabilities.	
For relocatable buildings which have been granted a waiver of durability for foundations, the owner should periodically inspect for, and correct, deterioration in order to maintain safe conditions. This certification is not valid if the buildings are moved to a site location other than shown on the approved plans.	
Bleachers and grandstands constructed in accordance with the approved design documents will meet required standards for structural and fire and life safety. The owner should require and provide for periodic safety inspections throughout the period of use to ensure framing and other parts have not been damaged or removed. On bleachers having bolts, locking or safety devices, the owner shall require that all such components be properly tightened or locked prior to each use.	
As stated in our letter approving the plans and specifications for this project, the Department does not review design documents or construction for compliance with the electrical, mechanical, or plumbing regulations. It is the responsibility of the professional consultants named on the application to verify compliance with appropriate parts of the California Building Code, and to submit Verified Reports documenting compliance.	
Sincerely,	
for David F. Thorman, AIA State Architect	
DFT: cr	
cc: Co. Supt. of Schools School Board Architect/Engineer – (Jeff Grau) Reading	
Regional Office • 1102 O Street, Suite 5200 • Sacramento, CA 95814 • (916) 445-8730	

1.8 CLOSEOUT PROCESS FLOWCHART



SECTION 2 - RE-EXAMINATION OF CLOSED FILES (RE-OPENING)

2.1 GENERAL INFORMATION, REQUIREMENTS AND PROCESS

Once DSA has closed a project file, it is sent to State Archives. If the file has been closed “not certified” then that status remains unaltered until that time the project is certified. In reality there is no re-opening of the file but instead the file may be “re-examined” for certification. The following steps are involved in order to have a file “re-examined”

- Send a package to DSA that includes a letter with the project name, DSA Application number that requests the project file be re-examined for certification. The package must include all items, documents and issues listed as missing, outstanding or otherwise not resolved; as listed in the DSA “Closed Without Certification” letter. Include a copy of the “Closed Without Certification” letter, and the required \$150.00 re-opening fee. All these items must be included in a single re-opening submittal or the “partial submittal” will be returned as incomplete.
- All Change Orders, Addenda, Revisions and Deferred Approvals must be fully approved prior to submittal of a re-opening package. Note, merely submitting to DSA does not mean the same as approval. All construction documents must be fully approved prior to re-opening.
- Re-opening packages that require approved Change Orders, Addenda, Revisions and Deferred Approvals should include the DSA-143 transmittal indicating the DSA approval.
- Required documents sent to DSA without a cover/transmittal letter and without the re-opening fee will be returned without any review or DSA tracker updating. After the 90 day letter expiration date, the project files are sent to State Archives and therefore individual closing documents cannot be filed.
- Change Orders, Addenda, Revisions, Deferred Approvals and Field Change Documents (FCD, PCO) can be submitted after the 90 day letter expiration date. These items may be sent in individually for approval. This type of construction document submittal for approval does not constitute a re-opening.
- When required documents cannot be acquired, approval from DSA for the omission of required closing documents or alternate documents must be resolved and secured in writing prior to the submittal of the re-opening package.
- Re-opened projects (complete with the \$150 fee) for which packages are submitted with un-approved documents, incomplete submittals or are not otherwise able to certification within three (3) months of re-opening; will remain uncertified, the files returned to archives and a revised uncertified closing letter will be issued with a revised documents required list. To again re-examine the project for certification will again require another \$150.00 re-opening fee and appropriate documents submitted.
- When a re-opening package is submitted complete, with the re-opening fee, the project will be assigned to a Project Closing Specialist and the appropriate District Engineer. The file will be re-examined (it may need to be ordered from State Archives) and, if all documentation is correct, the project will receive certification of compliance.
- Projects are re-opened in the order they (a complete package) are received at DSA for all school districts. The only exception to this rule is if a delay in re-examination process will delay or stop DSA plan review/approval of a currently submitted project.

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SECTION 3 - CONTACTING DSA

3.1 GENERAL

DSA contacts are important to successful certification. Each project is under the jurisdiction of a specific regional office. It is therefore necessary to contact the correct regional office. Below are contacts for each regional office:

3.1.1 Administrative Questions:

- The closing letter may contain the name and phone number of the DSA project closing specialist. If it does then call that person (number). If that person no longer works at DSA or the project has been re-assigned then ask the person who answers the call for the appropriate contact.
- If the closing letter does not have a contact name and phone number then call the following:
 - Area 1 (DSA Oakland) [510-622-1845](tel:510-622-1845)
 - Area 2 (DSA Sacramento) [916-323-2643](tel:916-323-2643)
 - Area 3 (DSA Los Angeles) [213-897-0523](tel:213-897-0523)
 - Area 4 (DSA San Diego) [858-674-5441](tel:858-674-5441)

3.1.2 Technical Questions:

- You may contact the DSA field Engineer if you know who that person is for that specific project.
- The closing letter may contain the name and phone number of the DSA project closing specialist. If it does then call that person (number). If that person no longer works at DSA or the project has been re-assigned then ask the person who answers the call for the appropriate contact. The closing specialist can direct your call and/or question to the appropriate technical staff.
- If the closing letter does not have a contact name and phone number then call the following:
 - Area 1 (DSA Oakland) [510-622-3112](tel:510-622-3112)
 - Area 2 (DSA Sacramento) [916-323-2643](tel:916-323-2643)
 - Area 3 (DSA Los Angeles) [213-897-0314](tel:213-897-0314)
 - Area 4 (DSA San Diego) [858-674-5441](tel:858-674-5441)

3.1.3 Archive Requests:

- You may contact DSA to request archived files:
 - Area 1 (DSA Oakland) [510-286-0711](tel:510-286-0711)
 - Area 2 (DSA Sacramento) [916-323-6584](tel:916-323-6584)
 - Area 3 (DSA Los Angeles) [213-897-2600](tel:213-897-2600)
 - Area 4 (DSA San Diego) [858-674-5478](tel:858-674-5478)

3.1.4 Escalating issues

It is important to try to ask questions and work out issues at the appropriate staff levels. If however, it is necessary for issues to be escalated then the appropriate chain and contacts are as follows:

- Supervisor for Project Services (includes Closing Specialists)
 - Area 1 (DSA Oakland) [510-622-3126](tel:510-622-3126)
 - Area 2 (DSA Sacramento) [916-323-2643](tel:916-323-2643)
 - Area 3 (DSA Los Angeles) [213-897-0902](tel:213-897-0902)
 - Area 4 (DSA San Diego) [858-674-5411](tel:858-674-5411)
- Supervisor for Field Unit (includes District Structural Engineers)
 - Area 1 (DSA Oakland) [510-622-3112](tel:510-622-3112)
 - Area 2 (DSA Sacramento) [916-323-3559](tel:916-323-3559)
 - Area 3 (DSA Los Angeles) [213-897-0950](tel:213-897-0950)
 - Area 4 (DSA San Diego) [858-674-5427](tel:858-674-5427)
- Regional Managers (final contact in chain)
 - Area 1 (DSA Oakland) [510-622-3109](tel:510-622-3109)
 - Area 2 (DSA Sacramento) [916-323-3013](tel:916-323-3013)
 - Area 3 (DSA Los Angeles) [213-897-4092](tel:213-897-4092)
 - Area 4 (DSA San Diego) [858-674-5413](tel:858-674-5413)

SECTION 4 - DOCUMENTS REQUIRED FOR PROJECT CERTIFICATION

4.1 GENERAL

Each project has specific documents that are required to be completed and filed with DSA in order for DSA to certify the project. This section provides general discussion of the various documents. Not all documents discussed here are required for all projects.

4.2 SIGNATURES ON DOCUMENTS

All documents that require signatures must be signed by the correct person. No person may sign for any other person.

DSA will accept re-produced documents in which the signatures are therefore also re-productions (not “wet” signed).

4.3 DSA-1 (APPLICATION)

One of the purposes of the DSA-1 (Application) or any amending document is to identify the specific names of design professionals who are required to sign DSA-6A/Es (Verified Reports). Forms that amend the DSA-1 include:


DSA-1

DSA-108 (Change in Delegation of Responsibility)

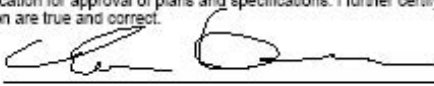
Letters that request a change in the name of individuals on the DSA-1

- Notes:**
1. The information on the DSA-108 and other forms that change the delegation of responsibility supersede any information previously submitted on the DSA-1 form.
 2. If a DSA-6A/E is submitted and signed by individuals that are not listed on a DSA-1 or any amending document, then a DSA-108 needs to be submitted before the DSA-6A/E can be accepted

4.3.1 DSA -1 - Example


	STATE OF CALIFORNIA DIVISION OF THE STATE ARCHITECT APPLICATION FOR APPROVAL OF PLANS AND SPECIFICATIONS	FORM DSA-1 Rev. 1/07
---	--	-----------------------------------

Please Print or Type all Information - or you may fill out on-line and print for signatures
ALL FIELDS MUST BE FILLED IN PER INSTRUCTIONS

1. School District (or State Agency) Sacramento City Unified School District
 Mailing Address: 425 1st Avenue, Sacramento, California 95818
2. Dist. Superintendent: Dr. Magdalena Mejia (916) - maggie-mejia@sac-city.k12.ca.u
Name Telephone Email
3. Dist. Dir. of Facilities: Jim Dobson (916) - jmd@sac-city.k12.ca.us
Name Telephone Email
4. Name of Facility: Washington Elementary
5. Construction of: (Names of New Buildings or Improvements) Admin. Bldg. A, 6 C.R. Bldgs. B to G, M-U Bldg. H, and 6 C.R. Bldgs. (24x40 reloc.)
6. Addition to: (Names of Buildings or Improvements) _____
7. Relocation of: 2 Toilet Bldgs. (12x40 relocatables)
(Names of Buildings)
- Alterations: 8. General Alterations to: _____
(Names of Buildings or Improvements)
9. Rehabilitation of: _____ **DSA Rehabilitation**
(Names of Buildings) **Pre Application #** _____
10. Reconstruction of: _____
(Names of Buildings)
11. Review ☐ This is an Access only project ☐ OTC review is requested (Form DSA-145 is attached)
 being requested ☐ Incremental review has been requested. The scope of increments has been discussed with the DSA Project Intake Architect prior to submittal. Form DSA-1-INC "Definition of Scope of Increments", is attached.
12. Project Location: 1598 Education Way
(Street Address)
13. City & Zip Code: Sacramento 95630 County of: Sacramento
14. Project Tracking Number (PTN): _____ 15. Estimate Cost: \$4,000,000
16. Is project funded by the Office of Public School Construction (OPSC)? YES ☐ NO ☒ (If "NO" skip to line 17)
 16a. OPSC Application Number: _____ 16b. ☐ Client is requesting DSA verification for an OPSC incentive grant (not applicable if answer to 16 is "NO")
17. Approx. Total Floor Area (Sq. Ft): 20,000 18. Design Snow Load: zero
19. Applicant's statement of responsibility: I certify, under penalty of perjury, that I am acting for the school District/State agency in the legal capacity of agent making application for approval of plans and specifications. I further certify that, to the best of my knowledge, the answers given on both sides of this application are true and correct.
 Signature of Applicant:  Date: 2/6/2008
20. Name of Applicant: Jeff Grau Title: Architect
(Please Print)
21. Mailing Address: _____
(If Applicant different from name shown in #1 or #22)

DSA USE ONLY	FEE SCHEDULE	CORRECT FEE	FEE PAID	UP/OP	REFUND
AC					
SS					
DSA FILE NO.	DSA APP. NO.	DATE ASSIGNED	ESTIMATED COST		
	<u>02 - 108792</u>				

FORM DSA-1 (Rev 1/31/07)


 CALIFORNIA
 DEPARTMENT OF GENERAL SERVICES

Page 1 of 2



APPLICATION FOR APPROVAL OF PLANS AND SPECIFICATIONS

FORM DSA-1

22. Plans, specifications, and related work were prepared by, and observation of construction will be performed by:

Jeff GrauC14648

Print or type name of Architect or Engineer in General Responsible Charge

CA Reg. No.

23. Firm Name: Rainforth Grau ArchitectsAddress: 2407 J Street Suite 202 Sacramento, California 95816(916) 368 - 7990(916) 368 - 7990

Telephone No.

Extension

Fax No.

E-mail Address

24. The following individual is authorized to act as Alternate to the Architect or Engineer named above:

Michael Rainforth

Printed Name

Signature

CA Reg. No. C8289Tel.# (916) 368 - 7990

E-mail Address

25. If portions of the preparation of the Plan and Specifications and observation of construction were delegated, show name of Registered Engineer, and related information below:

25a. Structural Engineer	<u>Bruce Doig</u>	CA Reg. No. <u>S2522</u>	Tel.# <u>(916) 368 - 9622</u>
		E-mail	Fax # <u>(916) 368 - 9623</u>
25b. Mechanical Engineer	<u>Lawrence Giovi</u>	CA Reg. No. <u>M29632</u>	Tel.# <u>(909) 270 - 2979</u>
		E-mail	Fax # <u>() -</u>
25c. Electrical Engineer	<u>Wesley Smith</u>	CA Reg. No. <u>E13615</u>	Tel.# <u>(714) 536 - 6451</u>
		E-mail	Fax # <u>() -</u>
25d. Geotechnical Engineer		CA Reg. No.	Tel.# <u>() -</u>
		E-mail	Fax # <u>() -</u>

26. ☐ This project involves delegation of responsibility other than reflected in line 25 above.
Form(s) DSA-1-DEL is (are) attached providing additional project information

27. OTHER FACTORS- Check appropriate boxes

GEOLOGIC HAZARD (check 1 box only)	<input checked="" type="checkbox"/> I have verified that this project does not require submittal of a Geological Hazard Report, per DSA <u>IR A-4</u> , Section 3.
	<input type="checkbox"/> Geological Hazard reports is required and is being (has been) submitted.
WAIVER OF DURABILITY	<input checked="" type="checkbox"/> (For Relocatable Building Only) The school district requests waiver of durability requirements for substandard foundations per <u>IR 16-1</u> and acknowledges that a conditional approval is acceptable.

28. Statement of responsibility: Architect / Engineer in General Responsible Charge

I certify under penalty of perjury that all information presented on this form is true and correct and that I understand, and will fulfill, my responsibilities as the architect/engineer in general responsible charge of this project as defined in Title 24, Part 1, Section 4-34.7 of the California Code of Regulations.

Signature: [Signature]

(Architect Or Engineer in General Responsible Charge)

Date: Feb 10, 2008

Indicate which Regional Office the Form DSA-1 is being submitted to:

☐ DSA San Francisco Bay Area Region
1515 Clay Street, Suite 1201
Oakland, CA 94612

☒ DSA Sacramento Region
1102 Q Street, Suite 5200
Sacramento, CA 95814

☐ DSA Los Angeles Basin Region
700 N. Alameda Street, Suite 5-500
Los Angeles, CA 90012

☐ DSA San Diego Region
16680 West Bernardo Drive
San Diego, CA 92127

Disclaimer: I certify that this form is an exact duplicate (verbatim) of the form provided by the Division of the State Architect (DSA) i.e. Form DSA-1 (Revision of 1-2007). In the event a conflict should exist, the language in the current DSA form will prevail.



4.4 DSA-108 (DELEGATION OF RESPONSIBILITY)



Form DSA-108 changes the delegation of responsibility from those persons listed on form DSA-1 to others listed on form DSA-108. This is useful when those listed on the original DSA application (DSA-1) are not able to complete their delegated responsibilities. The form consists of providing the following critical information
Project Name and Application Number.

Delegated From

Delegated To

Signature and Date.

4.4.1 DSA-108 - Example

		State of California • Arnold Schwarzeneger, Governor State and Consumer Services Agency • Department of General Services DIVISION OF THE STATE ARCHITECT PLEASE SUBMIT THIS FORM TO YOUR LOCAL DSA REGIONAL OFFICE
CHANGE IN DELEGATION OF RESPONSIBILITY		
Project Name: <u>Washington Elementary</u>	Effective Date of Delegation: <u>5/1/2007</u>	File No. <u>34-53</u> Application No. <u>02 - 108792</u>
Acting for the school board/owner in the legal capacity of agent, I hereby request that the application for approval of drawings and specifications for the subject project be amended to delegate responsibility for the <input type="checkbox"/> preparation of plans and specifications <input checked="" type="checkbox"/> observation of the construction of the <u>Structural</u> portion of the construction (line # <u>25a</u> , of the application) as follows:		
Delegated from: <u>Bruce Doig</u>		
<input type="checkbox"/> Architect <input checked="" type="checkbox"/> Structural Engineer <input type="checkbox"/> Mechanical Engineer <input type="checkbox"/> Electrical Engineer <input type="checkbox"/> Geotechnical Engineer		
Delegated to: <u>Colby Anderson</u> Registration #: _____ Phone #: () - _____		
<input type="checkbox"/> Architect <input checked="" type="checkbox"/> Structural Engineer <input type="checkbox"/> Mechanical Engineer <input type="checkbox"/> Electrical Engineer <input type="checkbox"/> Geotechnical Engineer		
Firm Name / Address: <u>Anderson Doig Structural Engineers</u>		
Responsibility Accepted by: <u>[Signature]</u>		Date: <u>5/1/2007</u>
Authorized Agent: <u>[Signature]</u>		Date: <u>5/1/2007</u>
NOTE		
Persons delegated responsibility for observation of construction, or portions thereof, shall make verified reports (Form DSA-8A/E) to the Division of the State Architect (DSA), as required by Section 4-336, Part 1, Title 24, California Code of Regulations.		
Persons relieved of responsibility for observation of construction, or portions thereof, shall make a verified report (Form DSA-8A/E) covering the work done up to the date their responsibility terminated.		
cc: School Board	 CALIFORNIA DEPARTMENT OF GENERAL SERVICES	DSA-108 (Revised 1-12-07)

4.5 DSA-102 (CONTRACT INFORMATION)

The DSA-102 Contract Information form provides the contractor's information. The following critical information must be provided on DSA-102.

Project Name and Application Number

Start Date

Contract Number

Contract Amount

Contractor Name

Scope of Contract

Signature of Architect

- Notes:**
1. If any of the above information is incorrect or incomplete, a revised or corrected DSA-102 is required.
 2. Volunteer projects need to list the name of an individual who is acting as a contractor and the dollar amount would be based on an estimate of the fair market value.

4.5.1 Requirements

- The DSA-102 information must be received by DSA before any Change Orders can be accepted by DSA.
- A separate DSA-102 must be filed for the Construction Manager.
- For projects with multiple prime contracts, a DSA-102 can be filed for each contract. However, it is recommended to use a single DSA-102 with an attached list of prime contractors.
- If a single General Contractor or Construction Manager (Construction Manager is at risk) holds contracts, then DSA considers only one contract exists (that between General Contractor and the district or the Construction Manager and the district). That prime contract is listed on the DSA-102 and sub contractor contract information is not listed.

4.5.2 DSA-102 – Example (Annotated)

Below is a detailed description of required information. If a field in the form is not annotated (and appears blank), the information in the field is not essential for closeout.

Indicate the contract number here.

DGS **STATE OF CALIFORNIA - DEPARTMENT OF GENERAL SERVICES** **DIVISION OF THE STATE ARCHITECT** FORM **DSA-102** Rev. 9-02

A separate form is required for each contract. Therefore, multiple forms may be filed under a single application. You must determine if all contracts have been reported to DSA, including contracts for construction managers.

CONTRACT INFORMATION
File prior to start of construction
Submit information for each contract on a separate form.

File #
App.# **Required Information**

Project Name **The school name. A list of school sites (for projects with multiple sites) or reference to an attachment are also acceptable.**

District / Owner

Contract Amount \$ **Original contract amount (should not include change order amounts)** Start of Construction (Date) **Required**

Contractor & Address **Required**

Subcontractors: (Attach list with names and addresses.)

Testing Laboratory & Address

LEA #: Exp. Date: I have verified that the lab is employed directly by the School District per Section 4-335 (b) of Title 24, Part 1: ☐

Inspector & Address

Scope of Contract: (List buildings. In addition, complete items 1 through 4 below)

This scope should match the scope on the DSA first approval letter, unless only part of the scope of the application is under this contract. The PCS should confirm the scope, but DSEs are ultimately responsible for scope. Changes to the scope should only be made with DSE recommendation.

1. Alternates included in this contract are: (Complete bid form showing cost is acceptable in lieu of detailed description hereon.)

2. Buildings and other portions of the work SHOWN on the approved plans and specifications but NOT INCLUDED in this contract are: **Any scope indicated here would be either under another contract or would not be constructed at this time.**

3. Buildings and other portions of the work NOT SHOWN on the approved plans and specifications but INCLUDED in this contract are: (Describe. If necessary, please use the reverse of this form.)

4. Buildings and other portions of the work SHOWN ON OTHER applications and INCLUDED in this contract: (Describe. If necessary, please use the reverse of this form.)

Signature (Architect or Engineer in General Responsible Charge of Observation of Work)
Required

Forward to (Choose one):

☐ DSA San Francisco Bay Area Region 1515 Clay Street, Suite 1201 Oakland, CA 94612

☐ DSA Sacramento Region 1102 Q Street, Suite 5200 Sacramento, CA 95814

☐ DSA Los Angeles Basin Region 700 N. Alameda Street, Suite 5-500 Los Angeles, CA 90012


☐ DSA San Diego Region 16680 West Bernardo Drive San Diego, CA 92127

NOTE: Approval of an inspector shall be secured at least 10 days prior to start of construction.

Disclaimer: I certify that this form is an exact duplicate (verbatim) of the form provided by the Division of the State Architect (DSA). In the event a conflict should exist, the language in the DSA form will prevail.

4.5.3 DSA-102 – Example (with Multi-prime Attachment)

The multi-prime list must indicate the contractor's name, respective contract amount, and bid package #.

 STATE OF CALIFORNIA - DEPARTMENT OF GENERAL SERVICES DIVISION OF THE STATE ARCHITECT		FORM DSA-102 <small>Rev. 9-02</small>
CONTRACT INFORMATION <small>File prior to start of construction Submit information for each contract on a separate form.</small>		
PHASE TWO		File # 33-9 App.# 04-107354
Project Name <u>Bernice Jameson Todd Elementary School</u>		
District / Owner <u>Corona-Norco Unified School District</u>		
Contract Amount \$ <u>16,932,351.00 (see attached list)</u>		Start of Construction (Date) <u>10/11/06</u>
Contractor & Address <u>Edge Development, Inc. 27368 Via Industria, Suite 101 Temecula, CA 92590</u>		
Subcontractors: (Attach list with names and addresses.) <u>See attached list for Multiple Prime Contractors.</u>		
Testing Laboratory & Address <u>Earth Systems 9253 Hermosa Ave., Unit C Rancho Cucamonga, CA 91703</u>		
LEA #: <u>50</u>	Exp. Date: <u>07/22/06</u>	I have verified that the lab is employed directly by the School District per Section 4-335 (b) of Title 24, Part 1: <input checked="" type="checkbox"/>
Inspector & Address <u>John Ross, 36447 Seine Ct., Winchester, CA 92596</u>		
Scope of Contract: (List buildings. In addition, complete items 1 through 4 below) <u>Phase 2: Construction of Admin. Building, Kindergarten Classroom Building, M.P. Building, 2-story Classroom Building, Lunch Shelter, Fields, Playground, and Parking Lot</u>		
1. Alternates included in this contract are: (Complete bid form showing cost is acceptable in lieu of detailed description hereon.) <u>N/A</u>		
2. Buildings and other portions of the work SHOWN on the approved plans and specifications but NOT INCLUDED in this contract are: <u>Phase 1: Site grading and installation of deep utilities.</u>		
3. Buildings and other portions of the work NOT SHOWN on the approved plans and specifications but INCLUDED in this contract are: (Describe. If necessary, please use the reverse of this form.) <u>N/A</u>		
4. Buildings and other portions of the work SHOWN ON OTHER applications and INCLUDED in this contract: (Describe. If necessary, please use the reverse of this form.) <u>N/A</u>		
Signature (Architect or Engineer in General Responsible Charge of Observation of Work) <u>Stephen A. Wilkerson, AIA, HMC Architects</u>		
Forward to (Choose one):		
<input type="checkbox"/> DSA San Francisco Bay Area Region 1515 Clay Street, Suite 1201 Oakland, CA 94612	<input type="checkbox"/> DSA Sacramento Region 1225 R Street Sacramento, CA 95814	<input type="checkbox"/> DSA Los Angeles Basin Region 311 South Spring Street, #1301 Los Angeles, CA 90013
<input checked="" type="checkbox"/> DSA San Diego Region 16680 West Bernardo Drive San Diego, CA 92127		
NOTE: Approval of an inspector shall be secured at least 10 days prior to start of construction.		
<small>Disclaimer: I certify that this form is an exact duplicate (verbatim) of the form provided by the Division of the State Architect (DSA). In the event a conflict should exist, the language in the DSA form will prevail.</small>		

**Bernice Jameson Todd Elementary School
CORONA-NORCO UNIFIED SCHOOL DISTRICT**

Attachment to Contract Information (DSA-102)
DSA # A-04-107354, F-33-9

Prime Contractors for Phase 2

CATEGORY DESCRIPTION	NAME & ADDRESS	CONTRACT AMOUNT
BP-3: Landscaping	Nature Tech Landscaping 1760 Marlborough Avenue Riverside, CA 92507	\$670,000.00 ✓
BP-4: Fence & Gates	Landmark Fence Co., Inc. 3964 Mission Boulevard Montclair, CA 91763	65,583.00 ✓
BP-5: Concrete & General Construction	T.B Penick & Sons, Inc. 380 State Place Escondido, CA 92029	3,627,000.00 ✓
BP-6: Structural Steel & Misc. Iron	Blazing Industrial Steel, Inc. 9040 Jurupa Road Riverside, CA 92509	1,362,638.00 ✓
BP-7: Rough Carpentry	Rocky Coast Framers, Inc. 135 So. Market Place Escondido, CA 92029	2,275,000.00 ✓
BP-8: Casework	David M. Bertino Manufacturing Inc. 1696 West Mill Units 21-22 Colton, CA 92324	415,000.00 ✓
BP-9: Roofing	Bell Roof Company, Inc. P.O. Box 5218 San Bernardino, Ca 92412	290,638.00 ✓
BP-10: Sheet Metal	Challenger Sheet Metal, Inc. 9450 Candida Street San Diego, CA 92126	205,310.00 ✓
BP-11: Doors & Hardware	TR Mulligan, Inc. 1604 Chestnut Avenue Carlsbad, CA 92008	384,540.00 ✓
BP-12: Glass & Glazing	Roy E. Whitehead Inc. 2245 Via Cerro Riverside, CA 92509	63,335.00 ✓
BP-13: Gypsum & Plaster	Caston Plastering and Drywall Inc. 354 S. Allen Street San Bernardino, Ca 92408	1,598,885.00 ✓
BP-14: Ceramic Tile	Inland Pacific Tile 1808 Commercenter West, Suite B San Bernardino, CA 92408	148,400.00 ✓
BP-15: Acoustical Wall & Ceiling	Elljay Acoustics, Inc. 1586 North Batavia Street Orange, CA 92867	168,547.00 ✓
BP-16: Floor Coverings	Pro Installations Inc. dba Prospectra Contract Flooring 8320 Camino Santa Fe, Suite 100 San Diego, CA 92121	183,675.00 ✓

Page 1 of 2

Bernice Jameson Todd Elementary School
 Corona-Norco USD
 DSA-102 Attachment – Phase 2
 A-04-107354, F-33-9
 Page 2 of 2

CATEGORY DESCRIPTION	NAME & ADDRESS	CONTRACT AMOUNT
BP-17: Painting & Wallcovering	Borbon Incorporated 7312 Walnut Avenue Buena Park, CA 90620	248,900.00
BP-18: Specialties	RVH Constructors, Inc. 320 S. Milliken Avenue, Suite A Ontario, CA 91761	492,800.00
BP-20: Plumbing	JPI Development Group, Inc. 41205 Golden Gate Circle Murrieta, CA 92562	739,000.00
BP-21: Fire Sprinklers	J.G. Tate Fire Protection Systems, Inc. 12600 Stowe Drive, Suite 11 Poway, CA 92064	367,200.00
BP-22: HVAC Systems	RAN Enterprises, Inc. 18411 Gothard St., Unit G Huntington Beach, Ca 92648	1,347,000.00
BP-23: Electrical Systems	CAM/BK Inc. dba Tri-City Electric 43300 Business Park Drive, A-106 Temecula, CA 92590	2,278,900.00
TOTAL CONTRACTS INCLUDING CM FEES & GENERAL CONDITIONS		\$16,932,351.00

4.6 DSA-291 (LABORATORY VERIFIED REPORT)

Most (but not all) projects require materials testing. Project testing requirements are shown on the construction documents and summarized on the DSA testing and inspection (T&I) form (DSA-103).

The T&I form is filled out by the design professional and accepted by DSA as a prerequisite to plan approval. The T&I form is not required for project closing but is used to identify those tests and special inspections required for the project.

At the conclusion of the project, the Testing Lab is required to provide evidence to DSA that all required tests have been completed.

- For older projects the Lab Manager would provide a signed affidavit ("Customized lab verified report") to DSA stating that all required testing has been completed.
- The Laboratory also may have filed a DSA-6 form.
- For More recent projects the Lab provides an executed DSA-291 (Laboratory Verified Report), signed by the lab manager, evidencing all required testing has been completed. DSA-291 must be signed by the licensed civil engineer who supervised the testing.

All three of these methods are acceptable for project certification except for projects where construction has been completed after January 1, 2006, the DSA-291 form must be used.

4.7 DSA-292 (SPECIAL INSPECTOR VERIFIED REPORT)

Some (but not all) projects require special inspections. Project special inspection requirements are shown on the construction documents and summarized on the DSA testing and inspection list (T&I) form.

The T&I form is filled out by the design professional at the time the plans are approved. The T&I form is not required for project closing but is used to identify those tests and special inspections required for the project.

At the conclusion of the project, the Special Inspector(s) is required to provide evidence to DSA that all required special inspections have been completed and that the inspected construction complies with the DSA approved construction documents.


- For older projects the Special Inspector would provide a signed affidavit ("Customized Special Inspector verified report") to DSA stating that the specifically listed required special inspection has been completed and the construction found to be in compliance with the construction documents.
- The special inspector also may have filed a DSA-6 form.
- For more recent projects the Special Inspector provides an executed DSA-292 (Special Inspector Verified Report), signed by the Special Inspector.

All three of these methods are acceptable for project certification except for projects that construction has been completed after January 1, 2006, the DSA-292 form must be used.

- DSA-292 for masonry must be signed by a DSA-approved masonry inspector.
- DSA-292 for shop or field welding must be signed by individuals who are AWS/CWI licensed (the seven digit license number must end in a 1 or 3 and the expiration date of the license must post-date the signature date)
- When DSA approves a specific individual (via Form DSA-5) to perform any special inspection, that individual must sign the DSA-292 form.

4.7.1 DSA-292 - Special Inspection Verified Report - Example

DSA is specifically looking at the circle information for completeness and accuracy.

 STATE OF CALIFORNIA • DEPARTMENT OF GENERAL SERVICES DIVISION OF THE STATE ARCHITECT		FORM DSA-292 rev. 08/07/06												
Special Inspection Verified Report (SIVR)														
<p>Note: This form must be submitted by the Special Inspector within 14 days of the conclusion of work requiring special inspection, or when work has stopped for more than one month, or if the services of the Special Inspector have been terminated for any reason.</p>														
A.	Re: <u>New Campus</u> <u>Project Name</u> <u>Washington Elementary</u> <u>School Name</u> To: <u>Sacramento City USD</u> <u>School Dist.</u> <u>425 1st Avenue, Sacramento, California 95818</u> <u>Address</u> <u>Jim Dobson</u> <u>Attention</u>	<u>34-53</u> <u>DSA File #</u> <u>02-108792</u> <u>DSA App. #</u> <input checked="" type="checkbox"/> Final-Work 100% Complete <input type="checkbox"/> In-Progress: _____ % Complete <input type="checkbox"/> Terminating: _____ % Complete												
B.	I personally performed all construction inspections described in Section C. My inspections were performed in accordance with the requirements of the DSA approved documents.													
C.	My work included continuous inspection of construction in accordance with the "DSA approved" documents as follows (list all special inspections performed and/or specific portions of the construction which you personally inspected.): _____ <u>Shop and Field Welding</u>													
D.	All inspection reports were sent to all entities as required by code.													
E.	I know of my own personal knowledge that the work has, in every material respect, been performed in compliance with the "DSA approved" documents, <u>except as follows</u> (if no exceptions, indicate "No Exceptions"): <u>NO EXCEPTIONS</u>													
F.	I declare under penalty of perjury that I prepared the above report and that all statements are true.													
<table border="0"> <tr> <td> Signed _____ Special Inspector Signature </td> <td> 9/1/2007 Date </td> <td> AWS/CWI 04070331 Certification Number </td> </tr> <tr> <td colspan="3"> Print Name: <u>Tobin Smith</u> </td> </tr> <tr> <td colspan="3"> Lab Name: <u>Wallace Kuhl</u> </td> </tr> <tr> <td colspan="3"> Address: <u>3050 Industrial Blvd.</u> City: <u>W. Sacramento</u> State: <u>CA</u> Zip: <u>95691</u> </td> </tr> </table>			Signed _____ Special Inspector Signature	9/1/2007 Date	AWS/CWI 04070331 Certification Number	Print Name: <u>Tobin Smith</u>			Lab Name: <u>Wallace Kuhl</u>			Address: <u>3050 Industrial Blvd.</u> City: <u>W. Sacramento</u> State: <u>CA</u> Zip: <u>95691</u>		
Signed _____ Special Inspector Signature	9/1/2007 Date	AWS/CWI 04070331 Certification Number												
Print Name: <u>Tobin Smith</u>														
Lab Name: <u>Wallace Kuhl</u>														
Address: <u>3050 Industrial Blvd.</u> City: <u>W. Sacramento</u> State: <u>CA</u> Zip: <u>95691</u>														
CC: Project Architect Structural Engineer Project Inspector DSA Regional office														
<i>See other side for instructions</i>														
FORM DSA-292 (rev 08/07/06) Special Inspection Verified Report PAGE 1 OF 2														

4.8 DSA-293 (GEOTECHNICAL VERIFIED REPORT)

Most (but not all) projects require earth work that is monitored by a Geotechnical Engineer.

- For older projects the Geotechnical Engineer would provide a signed affidavit (“Customized geotechnical verified report”) to DSA stating that all engineered fill tests and inspections have been completed.
- The Geotechnical Engineer also may have filed a DSA-6 form.
- For More recent projects the Geotechnical Engineer provides an executed DSA-293 (Geotechnical Verified Report), signed by the Geotechnical Engineer of Record, evidencing all required Engineered fill testing and inspection has been completed.

All three of these methods are acceptable for project certification except for projects that construction has been completed after January 1, 2006, the DSA -293 form must be used.

- DSA-293 must be signed by a licensed geotechnical engineer.

4.8.1 Customized Narrative Letter Verified Report - Example

The example below is an acceptable Geotechnical Verified Report that pre-dates the standard DSA-293 form. Geotechnical and Engineered Fill reports are equivalent.

SCANNED

KLEINFELDER
An employee owned company

September 22, 2004
File No. 42785

Ms. Kim VanGundy
Fairfield Suisun Unified School District
1975 Pennsylvania Avenue
Fairfield, CA 94534

STATE OF CALIFORNIA
DEPARTMENT OF GENERAL SERVICES
SEP 30 2004
DIVISION OF THE STATE ARCHITECT
SACRAMENTO REGIONAL OFFICE

DSA File No.: 48-16
DSA App. No.: 02-105580

ENGINEERED FILL VERIFIED REPORT

☒ Final-Work 100% Complete ☐ Terminating ____% Complete ☐ Work Stopped ____% Complete

THIS IS TO CERTIFY that all engineered fill tests and inspections performed by our personnel used in the construction of the:

**Suisun Elementary School 2004
Fairfield Suisun Unified School District**

Were made in accordance with the approved plans and specifications, projects soils investigation report and the regulations of the Division of the State Architect (DSA and that all were reported to said office:

Qualified personnel under my direct supervision conducted all testing and inspection services.


The results of all tests and inspections indicate that the materials tested comply with the requirements of the DSA approved documents.

I declare under penalty of perjury that I have read the above report and know the contents thereof and that all of the above statements are true.

Respectfully submitted,

KLEINFELDER, INC.


Thomas C. Ries
Engineering Manager
C.E. 3089, C.E.G. 1253



cc: DSA
Phil Kay
Jay Leininger, IOR
Francis Chan, ATI Architects and Engineers
Raasfat S. Aboulhosn, ATI Architects and Engineers

42785/FLD4L228
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Page 1 of 1

KLEINFELDER 780 Chadbourne Road, Suite D, Fairfield, CA 94534 (707) 429-4070 (707) 429-4162 fax

4.9 DSA-6 (INSPECTOR VERIFIED REPORT) DSA-6 (CONTRACTOR VERIFIED REPORT) DSA-6A/E (DESIGN PROFESSIONAL VERIFIED REPORT)

- The DSA-6 is used by the inspector(s) and each contractor with a prime contract with the District to state that construction either does or does not comply with DSA-approved plans.
- The DSA-6A/E form is used by the architect, structural, mechanical, and/or electrical engineers to state that construction either does or does not comply with DSA-approved plans.
- DSA-6 forms have been used in the past by testing labs or special inspectors instead of DSA lab verified reports.

Notes: 1. Construction Managers are not required to file a DSA-6 unless they are acting as general contractors (i.e., they own the contracts and are at risk).
2. Assistant Inspectors are not required to file a DSA-6 unless requested to do so by the DSE.
3. The DSA-6 submission requirements can differ depending upon the project or types of construction

4.9.1 Required DSA-6 and DSA-6A/E Form Information



Forms DSA-6 and DSA-6A/E require the following critical information. If any required information is not correctly provided, then the form is rejected by DSA.

- **Application number**
- **% Completion**
If less than 100%, remaining work/issues must be clearly and explicitly defined.
- **Project Name**
- **Project Scope**
- **Total number of Change Orders**
If the number of Change Orders listed on the DSA-6 is different than what has been approved, then reconciliation is necessary by reconciliation of change orders, submitting a new DSA-6 or both.
- **List Work to be Completed**
Any qualifying statements must be reviewed by the DSE.
- **Name and Title of person signing the DSA-6**
To determine the correct person has signed the DSA-6, Verify with DSA-1 for the design professional, the DSA-5 for the inspector, and the DSA-102 for the contractor
- **Signature**
DSA checks to make sure the document is signed by the appropriate person.
- **Date signed**
Change order dates should pre-date the DSA-6 or DSA-6 A/E signature. In addition, all Deferred Approvals, Change Orders, Revisions, Addenda, etc. must be resolved prior to acceptance.

Note: DSE's have the authority to accept a DSA-6 or DSA-6 A/E as final even if it does not meet all of the requirements listed above.


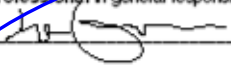
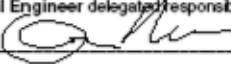
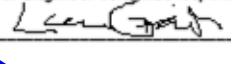
4.9.2 DSA-6 - Example

DSA is specifically looking at the circle information for completeness and accuracy

CALIFORNIA DEPARTMENT OF GENERAL SERVICES DIVISION OF THE STATE ARCHITECT			VERIFIED REPORT DSA-6
Rev. 1-02			
Both the Contractor and the Inspector must submit a separate copy of this form directly to DSA. File this report at completion of project, when services in connection with the project are terminated, when work stops for more than one month, or when any building of the project is occupied.			
Check all applicable boxes:	<input checked="" type="checkbox"/> Final - Work 100% complete <input type="checkbox"/> Work not completed (indicate at "*" below) <input type="checkbox"/> Building(s) _____ occupied	<input type="checkbox"/> Terminating <input type="checkbox"/> Work Stopped	DSA File No. 34-53 DSA Application No. 02-108792
This report includes all construction work through the date of: 12 month 18 day 2006 year			
School District/Owner Sacramento City USD		Project Name (School) Washington Elementary	
Scope of Work Site Work		Contract Amount \$ 3,433,000	
INDICATE IN EACH APPLICABLE CATEGORY	% COMPLETE	INDICATE IN EACH APPLICABLE CATEGORY	% COMPLETE
Site work		Fire Alarm System	
Foundation		Fire Sprinklers & Suppression Systems	
Structural Frame		Access, Gates & Fire Flow	
Electrical (including grounding systems)		Accessible Parking	
Plumbing		Ramps/Elevators/Lifts	
Mechanical		Accessible Restrooms	
Finishes		Accessibility Signage	
Total Project Completion (estimate total percentage of completion for projects where work is not complete):			100
List work to be completed (attach additional pages as necessary):			
Total Number of Change Orders at Close of Project: 2			
This section to be completed by Project Inspector or Contractor: I know of my own personal knowledge that all construction has, in every material respect, been performed in compliance with the DSA approved documents. I declare under penalty of perjury that I prepared this report and that all statements are true.			
Signature 		Print Name Seward Schreder Date 12 . 18 . 06	
Title Contractor (Inspector, Assistant Inspector, Contractor, School District/Owner)			
Business Address P.O. Box 7271			
City Chico		State CA Zip 95927	
Contractor or representative of district performing own work must also complete the following:			
I am an authorized official of _____ (Contracting Firm, Corporation, or School District performing work)			
working in the capacity of _____ (Owner, Partner, President, Vice-president, Superintendent)			
with personal knowledge of the work of construction. I have been authorized by said firm or corporation to sign this report.			
Submit completed form to the DSA Regional Office where this project was filed:			
<input type="checkbox"/> DSA San Francisco Bay Area Region 1515 Clay Street, Suite 1201 Oakland, CA 94612	<input checked="" type="checkbox"/> DSA Sacramento Region 1102 Q Street, Suite 5200 Sacramento, CA 95814	<input type="checkbox"/> DSA Los Angeles Basin Region 311 S. Spring Street, Suite 1301 Los Angeles, CA 90013	<input type="checkbox"/> DSA San Diego Region 16680 West Bernardo Drive San Diego, CA 92127

4.9.3 DSA 6 A/E - Example

DSA is specifically looking at the circle information for completeness and accuracy

CALIFORNIA DEPARTMENT OF GENERAL SERVICES DIVISION OF THE STATE ARCHITECT			VERIFIED REPORT DSA-6A/E
Rev. 1-02			
To be filed by the design professional in general responsible charge at completion of project, when services in connection with project are terminated, when work stops for more than one month, or when any building of the project is occupied.			
Check all applicable boxes: <input checked="" type="checkbox"/> Final - Work 100% complete <input type="checkbox"/> Terminating <input type="checkbox"/> Work not completed (indicate at "*" below) <input type="checkbox"/> Building(s) _____ occupied <input type="checkbox"/> Work Stopped		DSA File No. 34-53 DSA Application No. 02-108792	
This report includes all construction work through the date of: <u>12</u> month <u>22</u> day <u>2007</u> year			
School District/Owner <u>Sacramento City USD</u>		Project Name (School) <u>Washington Elementary</u>	
Scope of Work <u>New Campus (Granite Const. & Meehlis)</u>		Contract Amount \$ <u>5,004,500</u> and <u>\$650,000</u>	
INDICATE IN EACH APPLICABLE CATEGORY	% COMPLETE	INDICATE IN EACH APPLICABLE CATEGORY	% COMPLETE
Site work		Fire Alarm System	
Foundation		Fire Sprinklers & Suppression Systems	
Structural Frame		Access, Gates & Fire Flow	
Electrical (including grounding systems)		Accessible Parking	
Plumbing		Ramps/Elevators/Lifts	
Mechanical		Accessible Restrooms	
Finishes		Accessibility Signage	
Total Project Completion (estimate total percentage of completion for projects where work is not complete):			100
*List work to be completed (attach additional pages as necessary):			
Total Number of Change Orders at Close of Project:			5
AFFIDAVIT OF RESPONSIBLE PARTIES Original signatures are required			
I know of my own personal knowledge that all construction has, in every material respect, been performed in compliance with the DSA approved documents. I declare under penalty of perjury that I prepared this report and that all statements are true.			
Design Professional in general responsible charge for observation of the work			
Signature 		Print Name <u>Jeff Grau</u> Date <u>12 - 22 - 07</u>	
Address _____		City <u>Sacramento</u> State <u>CA</u> Zip <u>95816</u>	
Structural Engineer delegated responsibility for observation of the work			
Signature 		Print Name <u>Colby Anderson</u> Date <u>12 - 22 - 07</u>	
Address _____		City <u>Sacramento</u> State <u>CA</u> Zip <u>95830</u>	
Mechanical Engineer delegated responsibility for observation of the work			
Signature 		Print Name <u>Lawrence Giovi</u> Date <u>12 - 22 - 07</u>	
Address _____		City <u>Sacramento</u> State <u>CA</u> Zip _____	
Electrical Engineer delegated responsibility for observation of the work			
Signature _____		Print Name <u>Wesley Smith</u> Date _____	
Address _____		City _____ State <u>CA</u> Zip _____	

4.10 NOTICE OF COMPLETION (NOC)

A Notice of Completion (NOC) filed with DSA by the School District/owner is required before DSA can issue a certification letter. If there are multiple contracts, then there may be multiple NOC submitted (and multiple NOC dates)

4.10.1 Acceptable Forms of NOC

- NOCs can be submitted using:
- Notice on School District Letterhead
- Notice filed with County Recorder

4.10.2 Required information

The following information is required to be included as part of a "Notice of Completion"

- **School (Project) name and Application number**
Identify the project to which the NOC applies
- **Contractor name(s)**
- **Completion date**
- **Signature of school district representative**

Notes: 1. The term "substantially complete" is acceptable, when the NOC is signed by the school district representative.

2. The AIA notice of substantial completion is not acceptable as a NOC because the AIA notice is signed by the architect and not the school district's representative.

4.10.3 Notice of Completion - *Example*

DSA is specifically looking at the circle information for completeness and accuracy

RECORDING REQUESTED BY

Davis Joint Unified School District

AND WHEN RECORDED MAIL TO

Facilities Department
Davis Joint Unified School District
1919 5th Street
Davis, CA 95616

YOLO Recorder's Office
Freddie Oakley, County Recorder
DOC- 2005-0009145-00
Acct 116-Davis - NC
Monday, FEB 28, 2005 09:31:00
Ttl Pd \$0.00 Nbr-0000546914
LUP/RB/1-1

SPACE ABOVE THIS LINE

NOTICE OF COMPLETION 02-103009

NOTICE IS HEREBY GIVEN THAT:

- The undersigned is the owner of the interest or estate stated below in the property hereinafter described.
- The full name of the owner is **DAVIS JOINT UNIFIED SCHOOL DISTRICT**.
- The full address of the owner is **526 B Street , Davis, CA 95616**.
- A work of improvement on the property hereinafter described was completed on **February 17, 2005**.
The work done was:
Construction of Davis High School Expansion Project
- The name of the original contractor, if any, on such work of improvement was :
Broward Brothers Construction, Inc.
- The property on which said work of improvement was completed is in the **City of Davis, County of Yolo, State of California** and is described as follows:
Davis High School .
- The street address of said property is:
315 West 14th Street, Davis, CA 95616.

Signature of Owner names In paragraph 2 Or His Agent: Romeo Tabaranza
Romeo Tabaranza, Facilities Administrator In-Charge

VERIFICATION OF OWNERS
STATE OF CALIFORNIA
County of Yolo,

I, the undersigned, say ; I am the **Facilities Administrator In-Charge** , the declarant of the foregoing notice of completion; I have read said notice of completion and know the contents thereof; the same is true of my own knowledge. I declare under penalty of perjury that the foregoing is true and correct.

Executed on 2/18, 2005, at Davis, CA
(City) (State)

Romeo Tabaranza
Signature of Officer

FOR
NOTARY SEAL
OR
STAMP

END OF DOCUMENT 009145 FEB 28 05

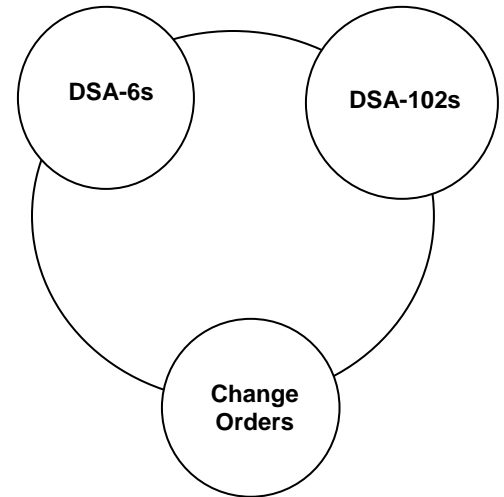
4.11 DSA-102 / CHANGE ORDER / DSA-6 INTERDEPENDENCIES

Although DSA-102s, Change Orders, and DSA-6s are discussed individually in this guide, the acceptability of each is dependent upon the others.

If all documents have been submitted and completed correctly, DSA-102s, Change Orders, and DSA-6s can be accepted. Unfortunately, the correct submission and completion of documents generally does not happen and therefore all or some of these documents are rejected on a regular basis.

The following interdependencies must be analyzed to determine if any DSA 102s, Change Orders, or DSA-6s must be rejected:

- DSA-102(s) should cover all contracts associated with the scope being closed. Coverage is determined by examining the scope portion of the DSA-102.
- DSA is required to approve ALL change orders associated with each contract. Determining the presence and number of change orders is accomplished by examining the number of change orders indicated on the DSA-6 forms versus the number of change orders in the file.
- The DSA-6 forms should cover the entire scope being closed and the number of change orders approved should be indicated.



4.12 CHANGE ORDERS

All change orders incurred during the construction of a project are required to be submitted and approved by DSA. The statutes and regulations governing school construction required that all changes to approved construction documents be approved by DSA prior to the construction of the changes. Since construction usually proceeds faster than a District can obtain full change order approval from their Boards, there exists regulations that allow the technical portions of a change order to be submitted and approved by DSA prior to the submittal of the final and fully executed change order. This method utilizes the FCD (Formerly PCO) process. Unfortunately, there are many instances where this process was not followed and there exists change orders that have no DSA approval, yet the construction has been completed. The following information is provided about change order review and approval.

- Upon receipt and review by DSA, DSA produces a Transmittal Memo. Therefore, each Change Order should be accompanied by a DSA Transmittal Memo indicating the review status and other information.
- If the technical aspects of a change order have been approved by the FCD (formerly PCO) process, then attach a copy of the DSA approved FCD (PCO) to the change orders
- See DSA IR A-6 for a full discussion on the FCD and Change Order process, requirements and submittals.
- All Change Orders must be approved by DSA prior to project certification
- Change Orders must be consistent with the DSA-102 regarding the contract number and contract amount.

- The number of change orders submitted and approved must be consistent with the Submitted DSA-6s
- If the change order(s) is not DSA approved then two sets of the change order(s) must be submitted to DSA for review and approval (include DSA checked comments if the change order(s) had been previously submitted and checked but never approved).

4.12.1 Change Order Transmittal Memo - Example

Each Change Order should be accompanied with a Transmittal Memo stamped by the DSE who reviewed and approved it. Verify the Application ID on the Transmittal Memo is correct and that the DSE has signed it.

STATE OF CALIFORNIA Department of General Services Division of the State Architect		Contract		SCANNED	
Addendum, Change Order, Drawing, Deferred Approval Worksheet and Transmittal Memo		FILE		DGS	
Project: <u>RES Bldg HS</u>		File No: <u>52-43</u>		Application No: <u>106789</u>	
Change Order Number: <u>1</u>		Addendum Number: <u>1</u>		Deferred Approval: <u> </u>	
Other: <u> </u>					
List of Material Received:	A. Master: <u>1</u>				
	B. Copies: <u>2</u>				
	C. Tracing (s) each: <u> </u> of Sheet (s) Number (s): <u> </u>				
	D. Prints (s) each: <u> </u> of Sheet (s) Number (s): <u> </u>				
	E. <u> </u>				
List of Material Approved:	F. <u> </u>				
	A & B				
List of Material:	To: <input checked="" type="checkbox"/> Architect <input type="checkbox"/> Structural Engineer				
	SENT: <u> </u>				
List of Material:	From: <u>G. Freeman</u>				
	Co: <u> </u> Pgs: <u> </u>				
List of Material:	Fax: <u> </u> Phone: <u>916-445-0737</u>				
	Item: <u>A & 10 of B</u>				
Remaining Requirements:	<input type="checkbox"/> Additional information required <input type="checkbox"/> Corrections Required <input type="checkbox"/> Change Order Required				
	If corrections are required, please return the following items:				
Remaining Requirements:	1) THIS TRANSMITTAL SHEET				
	2) The Complete, intact, marked-up review set.				
Remaining Requirements:	3) One copy and one original of the corrected submittal				
	4) Calculations, drawings and any other requested information				
Remaining Requirements:	5) Drawings bearing preliminary approval stamps so as to avoid re-review when possible				
	Remarks: <u> </u>				
Notes For Clerical Use Only:	DSA <u> </u> BUSINESS SECTION				
	DATE SENT: <u>07-13-06</u>				
Notes For Clerical Use Only:	In THICKET YES <u> </u> NO <u> </u>				
	US MAIL <u> </u>				
Notes For Clerical Use Only:	<input type="checkbox"/> Please make a file copy of: <u> </u> <input type="checkbox"/> Other: <u> </u>				
	<input type="checkbox"/> Extend Plans and Specifications Approval to cover: <u> </u>				
Notes For Clerical Use Only:	<input type="checkbox"/> Revised Plans and Specifications: <u> </u>				
	<input type="checkbox"/> Additional: Plans and Specifications Scope Increase: <u> </u>				
Notes For Clerical Use Only:	Type of Approval: <u> </u>				
	Checked by: <u>GERALD FREEMAN</u> <input checked="" type="checkbox"/> Not Required				
Notes For Clerical Use Only:	Approved by: <u>GJF</u> <input checked="" type="checkbox"/> Not Required				
	Date: <u>7-13-06</u>				

4.12.2 Change Order - Example

Verify the accuracy of the Application ID, Project Name, Change Order number, Original Contract Amount, Contractor's Name, Total Dollar Amount of the Change Order, and DSA Approval Stamp with App#, SS initials, and date.

CHANGE ORDER		OWNER: Red Bluff Joint Union High School District	
AIA DOCUMENT G701 (REPLICATED DOCUMENT)		ARCHITECT: Nichols, Melburg & Rossetto	
PROJECT: Multi Purpose Building Red Bluff High School Red Bluff, CA		CONTRACTOR: Tom Hill Construction Company, Inc.	
TO CONTRACTOR: Tom Hill Construction Co., Inc. P.O. Box 258 Wina, CA 96092		FILE # 52-H3 APPL. # 02-106789	
CHANGE ORDER NUMBER: One		DATE: June 1, 2006	
ARCHITECT'S PROJECT NO: 03-2165.10		CONTRACT FOR: Multi-Purpose Bldg.	
CONTRACT DATE: 9/8/05			
The Contract is changed as follows:			
1.01 Provide credit for PVC conduits not installed. Reference: COR 1 Requested By: Owner Reason: Load required larger conductors.	Delete	(\$719.00)	
1.02 Replace 3/0 THHN & #3 gnd. with 1 500 MCM THHN & #3 gnd. Reference: COR 2 Requested By: Architect Reason: To provide adequate feed to panel.	ADD	\$1,089.92	
1.03 Provide over-excavation at 3 column footings. Reference: COR 3 Requested By: Inspector Reason: Accommodate DSA requirement for bearing angles near obstructions.	ADD	\$4,441.59	
1.04 Grant contract time extension (62 days) for structural steel. Reference: COR 4 Requested By: Contractor Reason: Raw supply delays.	N/A	N/A	
1.05 Provide and install full traffic pavement profiles at both ends of sidewalk (conc.). Reference: COR 5 Requested By: Owner Reason: To provide traffic surface for buses and trucks.	ADD	\$5,716.74	
1.06 Provide blockouts in foundation curb for column baseplates. Reference: COR 7 Requested By: Architect Reason: Base plates intruded into wall-line, curbs later recast.	ADD	\$1,700.40	
1.07 Provide roof mounted handrail at roof hatch. Reference: COR 8 Requested By: Owner Reason: Increased safety at roof edge.	ADD	\$2,294.25	

Page 1 of 2

CHANGE ORDERAIA DOCUMENT G701
(REPLICATED DOCUMENT)OWNER: Red Bluff Joint Union High School District
ARCHITECT: Nichols, Melburg & Rossetto
CONTRACTOR: Tom Hill Construction Company, Inc.
FIELD FILE # 52-H3
OTHER APPL. # 02-106789PROJECT: Multi Purpose Building
Red Bluff High School
Red Bluff, CACHANGE ORDER NUMBER: One
DATE: June 1, 2006TO CONTRACTOR: Tom Hill Construction Co., Inc.
P.O. Box 258
Vina, CA 96092ARCHITECT'S PROJECT NO: 03-2165.10
CONTRACT FOR: Multi-Purpose Bldg.

CONTRACT DATE: 9/8/05

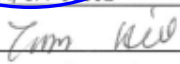
1.05	Provide and install full traffic pavement profiles at both ends of sidewalk (base & ac). Reference: COR 10 Requested By: Owner Reason: To provide traffic surface for buses and trucks.	ADD	\$3,135.22
1.06	Provide and install additional elec. for BB Backstops and scoreboards. Reference: COR 13 Requested By: Owner Reason: To provide power for public address system.	ADD	\$10,500.65
1.06	Provide and install conduit and wiring for 2 duct detectors. Reference: COR 15 Requested By: Architect Reason: To provide connection to signal initiation cabinet.	ADD	\$2,070.00
TOTAL AMOUNT OF CHANGE ORDER NO. ONE			\$30,229.77

NOT VALID UNTIL SIGNED BY THE OWNER, ARCHITECT AND CONTRACTOR.

The original Contract Sum	\$2,194,264.00
Net Change by previously authorized Change Orders	0
The Contract Sum prior to this Change Order	\$2,194,264.00
The Contract Sum will be increased by this Change Order in the amount of	\$30,229.77
The new Contract Sum including this Change Order will be	\$2,224,493.77
The Contract Time will be extended	70 Days

Note: This summary does not reflect changes in the Contract Sum, Contract Time or Guaranteed Maximum Price which have been authorized by Construction Change Directive.

NICHOLS, MELBURG & ROSSETTO	TOM HILL CONSTRUCTION COMPANY INC.	RED BLUFF JOINT UNION HIGH SCHOOL DISTRICT
ARCHITECT	CONTRACTOR	OWNER
300 KNOLLCREST DRIVE	P.O. BOX 258	1525 DOUGLASS ST.; PO BOX 1507
REDDING, CA 96002	VINA, CA 96092	RED BLUFF, CA 96080-1507

BY: BY: BY: 

DATE: 6-13-06

DATE: 6-15-06

DATE: 7-6-06


4.13 DEFERRED APPROVALS

A deferred approval represents a portion of the construction that cannot be fully detailed on the originally approved drawings because of variations in product design and manufacture. Approval of plans for such a portion may be deferred until the material suppliers are selected. All deferred approvals identified during the plan approval phase are required to be submitted and approved by DSA. The statutes and regulations governing school construction require that all deferred approvals be approved by DSA prior to the construction of the deferred portion. Unfortunately, there are many instances where these regulations were not followed and there exists deferred approvals that have no DSA approval, yet the construction has been completed. The following information is provided about deferred approval review and approval.

- Upon receipt and review by DSA, DSA produces a Transmittal Memo. Therefore, each Deferred Approval should be accompanied by a DSA Transmittal Memo indicating the review status and other information.
- Required deferred approvals are shown on the DSA approved plans and original DSA approval letter.
- See DSA IR A-19 for a full discussion about required design professional signatures on deferred approvals.
- If the Deferred Approval is not DSA approved then two sets of the Deferred Construction Documents (Drawings and supporting data such as calculations, manufacturer data, etc...) must be submitted to DSA for review and approval (include the DSA check set if the Deferred Approval had been previously submitted and checked but never approved).
- All Deferred approvals must be approved by DSA prior to project certification
- Types of Deferred Approvals must be consistent with those shown on the DSA approved project plans. If changes to the plans have caused deferred approvals to be added or deleted then those plan changes must be approved by DSA.

4.13.1 Deferred Approval Transmittal Memo Example

DSA is specifically looking at the circle information for completeness and accuracy

STATE OF CALIFORNIA Department of General Services Division of the State Architect Addendum, Change Order, Drawing, Deferred Approval Worksheet and Transmittal Memo			
Project : WASHINGTON ELEMENTARY		File No: 34-53	Application No. : 02-108792
Change Order Number:	Addendum Number:	Deferred Approval : Elevator Guide Rails	Other :
List of Material Received :	A Master :		
	B. Copies: 2		
	C. Tracing (s) each : of Sheet (s) Number (s) :		
	D. Prints (s) each : of Sheet (s) Number (s) :		
	E.		
	F.		
List of Material Approved :	B		
List of Material : <input checked="" type="checkbox"/> Sent <input type="checkbox"/> Handed <input type="checkbox"/> Faxed	To: <input checked="" type="checkbox"/> Architect <input type="checkbox"/> Structural Engineer		SENT :
	From : G. Freeman Pgs : Fax :		Phone : 916-445-0737
	Items : 1 OF ITEM B		
Remaining Requirements : <input checked="" type="checkbox"/> NONE	<input type="checkbox"/> Additional information required <input type="checkbox"/> Corrections Required <input type="checkbox"/> Change Order Required If corrections are required; please return the following items : 1) THIS TRANSMITTAL SHEET 2) The Complete, intact, marked-up review set. 3) One copy and one original of the corrected submittal 4) Calculations, drawings and any other requested information 5) Drawings bearing preliminary approval stamps so as to avoid re-review when possible		
Remarks :	<div style="border: 1px solid black; padding: 5px; transform: rotate(-5deg);"> APPROVED DIV. OF THE STATE ARCHITECT SACRAMENTO REGIONAL OFFICE AC _____ F/LS _____ SS _____ APP. # _____ DATE _____ </div>		
Notes For Clerical Use Only :	<input type="checkbox"/> Please make a file copy of : <input type="checkbox"/> Other : <input type="checkbox"/> Extend Plans and Specifications Approval to cover : <input type="checkbox"/> Revised Plans and Specifications : <input type="checkbox"/> Additional: Plans and Specifications Scope Increase :		
Checked by : GERALD FREEMAN	SSS :	FLS : <input checked="" type="checkbox"/> Not Required	ACS : <input checked="" type="checkbox"/> Not Required
Approved by : Gerald Freeman	Type of Approval :		
Date : 8/1/2006			

Form No. ESS 1-0-1
REV 5/99


4.14 ADDENDA

Prior to the award of a construction contract, changes to the DSA approved construction documents may be implemented by means of addenda. All addenda that change the DSA approved plans and/or specifications are required to be submitted and approved by DSA. The statutes and regulations governing school construction required that changes to approved construction documents be approved by DSA prior to the construction of those changes. Unfortunately, there are many instances where these regulations were not followed and there exists addenda that have no DSA approval, yet the construction has been completed. The following information is provided about addenda review and approval.

- Upon receipt and review by DSA, DSA produces a Transmittal Memo. Therefore, each addendum should be accompanied by a DSA Transmittal Memo indicating the review status and other information.
- If the Addendum is not DSA approved then two sets of the addendum (Drawings and supporting data such as calculations, manufacturer data, etc...) must be submitted to DSA for review and approval (include the DSA check set if the addendum had been previously submitted and checked but never approved).
- All addenda must be prepared, written, and signed, by the architect (or engineer) in general responsible charge of the project.
- Significant addenda (revisions) to the drawings may result in a DSA request for additional fees and/or the submittal of a new separate application.
- All addenda must be approved by DSA prior to project certification

4.14.1 Addendum Transmittal Memo - Example

DSA is specifically looking at the circle information for completeness and accuracy

STATE OF CALIFORNIA Department of General Services Division of the State Architect Addendum, Change Order, Drawing, Deferred Approval Worksheet and Transmittal Memo			
Project: <u>WASHINGTON ELEMENTARY</u>		File No: <u>34-53</u>	Application No: <u>02-108792</u>
Change Order Number: _____	Addendum Number: <u>1</u>	Deferred Approval: _____	Other: _____
List of Material Received:	A. Master: _____		
	B. Copies: <u>2</u>		
	C. Tracing (s) each: of these (s) Number (s): _____		
	D. Prints (s) each: of these (s) Number (s): _____		
	E. _____		
	F. _____		
List of Material Approved:	<u>B</u>		
List of Material: <input checked="" type="checkbox"/> None <input type="checkbox"/> Extended <input type="checkbox"/> Faxed	To: <input checked="" type="checkbox"/> Architect <input type="checkbox"/> Structural Engineer <div style="float: right; border: 1px solid black; padding: 5px;"> SENT: To: _____ From: <u>G. Freeman</u> Co: _____ Ig: _____ Fax: _____ Phone: <u>916-445-0737</u> </div>		
Remaining Requirements: <input checked="" type="checkbox"/> NONE	<input type="checkbox"/> Additional information required <input type="checkbox"/> Corrections Required <input type="checkbox"/> Change Order Required If corrections are required, please return the following items: 1) THIS TRANSMITTAL SHEET 2) The Complete, initial, marked-up review set. 3) One copy and one original of the corrected submittal 4) Calculations, drawings and any other requested information 5) Drawings bearing preliminary approval stamps so as to avoid re-review when possible.		
Remarks: _____	<div style="border: 1px solid black; border-radius: 50%; padding: 10px; text-align: center;"> APPROVED DIV. OF THE STATE ARCHITECT SACRAMENTO REGIONAL OFFICE AC _____ F/LS _____ SS _____ APR. # _____ DATE _____ </div>		
Notes For Clerical Use On by: _____	<input type="checkbox"/> Please make file copy of: _____ <input type="checkbox"/> Other: _____ <input type="checkbox"/> Extend Plans and Specifications Approval cover: _____ <input type="checkbox"/> Revised Plans and Specifications: _____ <input type="checkbox"/> Additional Plans and Specifications Scope Increase: _____ Type of Approval: _____		
Checked by: <u>GERALD FREEMAN</u>	FLS: <input type="checkbox"/> Not Required <u>TH</u>	ACS: <input type="checkbox"/> Not Required <u>SY</u>	
Approved by: <u>GF</u>	<u>TH</u>	<u>SY</u>	
Date: <u>8/10/2006</u>	<u>8/10/2006</u>	<u>8/12/2006</u>	


4.15 REVISIONS

Prior to (or in some cases after) the award of a construction contract, changes to the DSA approved construction documents may be implemented by means of revisions. All revisions that change the DSA approved plans and/or specifications are required to be submitted and approved by DSA. The statutes and regulations governing school construction required that changes to approved construction documents be approved by DSA prior to the construction of those changes. Unfortunately, there are many instances where these regulations were not followed and there exists revisions that have no DSA approval, yet the construction has been completed. The following information is provided about revision review and approval.

- Upon receipt and review by DSA, DSA produces a Transmittal Memo. Therefore, each revision should be accompanied by a DSA Transmittal Memo indicating the review status and other information.
- If the Revision is not DSA approved then two sets of the revision (Drawings and supporting data such as calculations, manufacturer data, etc...) must be submitted to DSA for review and approval (include the DSA check set if the Revision had been previously submitted and checked but never approved).
- All revisions must be prepared, written, and signed, by the architect (or engineer) in general responsible charge of the project.
- Significant revisions to the drawings may result in a DSA request for additional fees and/or the submittal of a new separate application.
- All revisions must be approved by DSA prior to project certification.

4.15.1 Revision Transmittal Memo - Example

DSA is specifically looking at the circle information for completeness and accuracy

STATE OF CALIFORNIA Department of General Services Division of the State Architect Addendum, Change Order, Drawing, Deferred Approval Worksheet and Transmittal Memo			
File No: <u>34-53</u>		Application No: <u>02-108792</u>	
Project: <u>WASHINGTON ELEMENTARY</u>			
Change Order Number:	Addendum Number:	Deferred Approval:	Other: <u>REVISION #1</u>
List of Material Received:	A. Master:		
	B. Copies: <u>2</u>		
	C. Tracing(s) each: of these (2) Number(s):		
	D. Prints(s) each: of these (2) Number(s):		
	E.		
	F.		
List of Material Approved:	B		
	To: <input checked="" type="checkbox"/> Architect <input type="checkbox"/> Structural Engineer		
List of Material: <input checked="" type="checkbox"/> None <input type="checkbox"/> Extended <input type="checkbox"/> Revised	To: _____ Co: _____ Fax: _____		From: <u>G. Freeman</u> Egs: _____ Phone: <u>916-445-0737</u>
	Issue: <u>1 OF ITEM B</u>		
	Remaining Requirements: <input checked="" type="checkbox"/> NONE		
	If corrections are required, please return the following items: 1) THIS TRANSMITTAL SHEET 2) The Complete, intact, marked-up review set. 3) One copy and one original of the corrected submittal. 4) Calculations, drawings and any other requested information. 5) Drawings bearing preliminary approval stamps so as to avoid re-review when possible.		
Remarks:			
APPROVED DIV. OF THE STATE ARCHITECT SACRAMENTO REGIONAL OFFICE AC _____ FLS _____ SS _____ APP. # _____ DATE _____			
Notes For Clerical Use Only:	<input type="checkbox"/> Please make file copy of: _____ <input checked="" type="checkbox"/> Other: Removed Skylight D.A. from application		
	<input type="checkbox"/> Extend Plans and Specifications Approval to cover: _____		
	<input type="checkbox"/> Extend Plans and Specifications: _____		
	<input type="checkbox"/> Additional Plans and Specifications Scope Increase: _____ Type of Approval: _____		
Checked by: <u>GERALD FREEMAN</u>	T H: <input type="checkbox"/> See Required <u>T H</u>	ACR: <input type="checkbox"/> See Required <u>S YASSA</u>	
Approved by: <u>Gerald Freeman</u>	<u>T H</u>	<u>S YASSA</u>	
Date: <u>1/15/07</u>	<u>1/15/07</u>	<u>1/15/07</u>	

4.16 FEES

Education Code Sections 17300 and 81133 and California Administrative Code CCR Title 24 Part 1 Sections 4-320 through 4-326 define project fees. At the conclusion of construction, fees may be due to DSA. In these instances, invoices are generated by DSA and fees are paid by the District. There are three (3) types of invoices generated by DSA.

- Original Project Application Fees (70/30 split)
- Additional Fees
- Further Fees

4.16.1 Original Project Application Fees (70/30 split)

Although a rare occurrence, Education Code Section 17300(b) allows schools districts the option to pay the original project application fees in two installments. The installments are 70% of the SSR (including FLS) fees at time of project submittal and the remaining 30 % within 5 days of acceptance of the project construction bid. (70/30) The 70/30 Split invoices are generated for the remaining 30% fees, at the time any contractors have been awarded a contract. The status of the payment of this fee is examined at project close out and the fee must be paid prior to project certification.

- Notes:**
1. This split invoice arrangement only applies to SSR fees – ACS fees must be paid in full at the time of application.
 2. When the original DSA Application (DSA-1) is received, the DSA cashier invoices the school district for the outstanding 30% and notifies them that payment is due once any contractors have been awarded a contract. DSA then tags the file “30% outstanding” and/or there is a letter requesting payment of “Field Review Fees” in the file. (DSA will again invoice the 30% upon receipt of Form 102 if payment has not yet been received).
 3. Essential Services (ES) projects may be paid in a 75/25 percent split

4.16.2 Additional Fees

California Code of Regulations (CCR), Title 24, Part I, Section 4-317(f) allows DSA to invoice for additional fees when the original contract amount of a project exceeds the estimated cost of a project by more than 30%.

- The DSA-1 submitted at the beginning of a project contains an estimated cost statement. The architect or engineer in responsible charge of the project is required to submit a DSA-102 Contract Information form to DSA as soon as a contract has been let. Unfortunately, this is not always done. Additional Fees invoices are created when the contract amounts indicated on the DSA-102s are 30% or more than the estimated cost indicated on the DSA-1.
- For example, the estimated cost of a DSA Application Number is \$1,000,000.00 (\$1M) and the DSA 102 form shows \$2,000,000.00 (\$2M) as the original contract amount. Because the original contract amount exceeds the estimated cost by more than 30% an Additional Fee invoice must be generated.
- The status of the payment of this fee is examined at project close out and the fee must be paid prior to project certification.

- Notes:**
1. An Additional Fee invoice can also be triggered by multiple DSA-102 forms for multiple contracts because the cumulative amount would apply.
 2. Additional Fee invoices do not include further fees due to Change Orders (see Further Fees below).

4.16.3 Further Fees

California Code of Regulations (CCR), Title 24, Part I, Sections 4-320 and 324(b) allows DSA to invoice for further fees when the actual cost of the project exceeds the estimated cost by 5 percent. The Further Fee for such projects shall be based on the difference between the estimated cost (including any adjustments for additional fees) and the actual cost.


- For example, the estimated cost is \$1,000,000.00 (\$1M) and the actual cost (the sum of the DSA-102 and Change Orders amounts) is \$1,999,998.00.
 - Multiply the estimated cost by 1.05:
 $1,000,000 * 1.05 = 1,050,000$
 - The actual cost (\$1,999,998.00) is higher than the above calculated amount; therefore an invoice for Further Fees must be generated.
- Further Fees can be triggered by change orders, which increase the actual cost of the project.
- The status of the payment of this fee is examined at project close out and the fee must be paid prior to project certification.

4.16.4 Fees for Prorated DSA Application Numbers

The above fee information is focused on typical invoices for projects. However, although uncommon, it is possible for a single construction project to have multiple DSA Application Numbers, each with its own contracts and change orders. A single project with multiple DSA Application Numbers is commonly referred to as having “prorated DSA Application Numbers.”

In projects with multiple DSA Application Numbers, each DSA Application Number must be evaluated separately from the others in order to accurately calculate fees. DSA is not responsible for prorating contract amounts. A complete proration (breakout) must be submitted by the architect and reported on the DSA-102s and Change Orders.

4.16.5 Unpaid Invoice - Example



State of California • Department Of General Services • Arnold Schwarzenegger, Governor

DIVISION OF THE STATE ARCHITECT

Regional Office • 1102 O STREET, SUITE 5200 • SACRAMENTO CA 95814 • (916) 445-8730

INVOICE

(Plan/Field Review)

PARLIER UNIFIED SCHOOL DISTRICT
900 NEWMARK AVENUE
PARLIER CA 93648
Attn: Accounts Payable

Invoice #: 02 2270

Print Date: 08/09/2005

Application #: **02-101688** File ID: **10-105**

Project: CHAVEZ ELEMENTARY SCHOOL DISTRICT (PARLIER UNIFIED S.D.)

Scope: ALTS TO FOUR CLSRM. BLDGS AND ADMIN. BLDG.

Billing Details:

Project Contracted Cost:	\$659,000.00				
Change Orders Cost:	+	\$84,820.00			
Final Project Cost:		\$943,820.00			
Estimated Project Cost:	-	\$725,500.00	----->	Cost Augmentation:	\$218,320.00

	<u>Billing</u>	<u>Additional</u>	<u>Further</u>	<u>Alternate Design</u>	<u>Overtime</u>	<u>Total</u>
Access Compliance	\$0.00	\$133.50	\$84.82	\$0.00	\$0.00	\$218.32
Structural Safety	(\$1.00)	\$934.50	\$593.74	\$0.00	\$0.00	\$1,527.24
Miscellaneous	\$0.00					
				Total Amount Due :		\$1,745.56

Return this portion with payment. - One check per invoice, please

PARLIER UNIFIED SCHOOL DISTRICT

Application#: **02-101688**

File ID#: **10-105**

Invoice#: **2270**

Pay This Amount : **\$1,745.56**

By: 09/07/2005

Amount Enclosed:

Make check payable to:

DIVISION OF THE STATE ARCHITECT

4.16.6 Paid Invoice - *Example*

State of California • Department Of General Services • Gray Davis, Governor

DIVISION OF THE STATE ARCHITECT

Regional Office

1225 P STREET

SACRAMENTO CA 95814

(916) 445-8730

INVOICE

(Additional Fee)

Invoice #:

02

1005

Print Date:

10/03/2002

FAIRFIELD - SUISUN UNIFIED SCHOOL DISTRICT
1975 PENNSYLVANIA AVE.
FAIRFIELD CA 94533-3692

Application #: 02-103337 File ID: 48-16
Project: CRESCENT MIDDLE (FAIRFIELD - SUISUN USD)
Scope: CONST OF NEW MIDDLE SCHOOL

Billing Details: Pursuant to Title 24 Section 4-317(F), total cost of construction exceeds your original estimated cost by 30% or more the additional fee due is as follows.

Total Contracted Cost:	\$17,100,000.00
Original Est. Cost:	\$13,000,000.00
Cost Augmentation:	\$4,100,000.00

	Filing fee due	Additional fee due	Total fee due
Access Compliance	\$0.00	\$410.00	\$410.00
Structural Safety	\$0.00	\$20,500.00	\$20,500.00
		Total Amount Due :	\$20,910.00

Return this portion with payment. - One check per invoice, please

FAIRFIELD - SUISUN UNIFIED SCHOOL DISTRICT

Application#: 02-103337

Invoice#: 1005

Pay This Amount :

\$20,910.00

By:

11/02/2002

Amount Enclosed:

Make check payable to:

DIVISION OF THE STATE ARCHITECT

SECTION 5 - RESOLUTIONS AND STRATEGIES FOR PROJECT CERTIFICATION

5.1 GENERAL DISCUSSION

Project certification is most readily obtained immediately following substantial completion of the construction. The more time that passes, the more complicated, complex and problematic certification becomes. As time passes, people involved in the process change employment, retire, die or just disappear. Documents become lost, discarded, misfiled or otherwise unobtainable.

Project certification is about document control. Project testing and inspection along with the resulting documentation as well as other required documentation must be established prior to construction and collected during construction. Documents must be gathered and signed by responsible parties before those persons are no longer able to be found. As a backup, copies of documents must be kept by responsible parties (at least until project certification). Documents must be submitted to DSA, appropriately reviewed/approved, their existence and status accurately recorded and then correctly filed. Any breakdown in document control leads to uncertified projects.

Project certification for projects that have been previously closed without certification can be an arduous task. It takes good old fashion hard work. A person must be willing to dig through old records, boxes of files, make many phone calls, track down people, write letters, attend meetings, discover and resolve issues and in some cases cause additional testing, inspections and maybe even construction.

This section provides strategies for resolutions to problems encountered during the certification of old projects. Not all problems and resulting strategies are able to be identified and not all those identified are applicable to each project. All projects are unique and unique issues and strategies are expected to be encountered. Since many resolutions result in the need to submit alternate documentation to DSA., it may be instructional to read the above Section 1.6.2.

5.2 BEST PRACTICES

Some projects are very straight forward and easy to certify. While some effort may be required to collect all the documentation, once collected and submitted; the certification process proceeds rapidly and smoothly. These projects usually have the following in common:

- Archived (DSA or District archives) plans and documents are available for review.
- The project has DSA approved plans and specifications (DSA approval of plans letter has been issued)
- All construction has been completed in compliance with the approved construction documents
- All revisions, addenda, deferred approvals, and change orders have been approved by DSA
- Project inspector and design professionals have signed 100% verified reports (DSA-6)

- All required tests and inspections have been completed with the necessary reports available
- All DSA field trip note issues are resolved (if exist).
- All fees owed DSA are paid.

5.3 SCHOOL DISTRICT PARTICIPATION

For projects that have been closed without certification and are to be re-examined for certification; the school district should be prepared to do the following:

- Hire persons experienced in DSA project closeout (employees and/or consultants)
- Work as a team with DSA to resolve issues.
- Provide approved plans (and other documents) if DSA archive record set and/or archive files are not available.
- Complete construction and/or otherwise resolve construction deficiencies/scope.
- Hire new project and/or special inspector as necessary.
- Hire design professionals as necessary to resolve issues
- Hire a DSA approved Laboratory to perform tests (destructive and/or non-destructive).
- Pay additional fees due DSA.

5.4 DETERMINING PROJECT CERTIFICATION STATUS

The certification status of projects in each individual school district should be determined such that each district develops a list of their projects that are not DSA certified. The certification status is best determined from the DSA Web Site ([See Appendix A](#)) If the information is not obtainable from the web site then contact the DGS regional office and request a Tracker list of uncertified projects be generated for that specific school district.

5.5 OBTAINING PROJECT DOCUMENTS AND INFORMATION

After determination that a project is not DSA certified, the reasons for the lack of certification need to be determined, information gathered and certain documents must be obtained. Information and documents are usually obtained from a variety of sources. These sources include:

- DSA
- School District
- Design Professionals
- Inspectors
- Testing Laboratories
- Construction Managers
- Contractors

5.5.1 Obtaining Documents from DSA

DSA typically has information and documents that may be of value in pursuing project certification. See also Section 3 for information about contacting DSA.

A search is only to be requested if it is absolutely known the missing document(s) has been submitted to DSA and no other copy of the document can be located anywhere.

- **Closing Letter.** For projects that are uncertified, the DSA closing letter lists those documents that are missing and/or issues that are not resolved. The closing letter may be requested from DSA (see “Contacting DSA,” Section 3.1.1).
- **Project plans and specifications** may be obtained by making a request to retrieve them from DSA archives (see “Contacting DSA,” Section 3.1.3). The plans and specifications can be viewed at the regional office locations. They cannot leave the custody of DSA except by a licensed, bonded reprographic company for copying
- **DSA project files** may be obtained by making a request to retrieve them from DSA archives (see “Contacting DSA,” Section 3.1.3). The project files can be viewed at the regional office locations. They cannot leave the custody of DSA except by a licensed, bonded reprographic company for copying. The project files are split into “Red Files” and “Black Files”. See Appendix C for more discussion about DSA files and the organization of the documents in the files
- **History Cards.** For projects where the certification (or lack thereof) is not clear, especially for projects prior to the year 1998, DSA keeps project history cards and/or closing letter binders. For single project requests, DSA may search these cards and binders and send the information via fax or e-mail. For multiple projects or district wide projects, DSA may require the search be made by the requesting party and make the cards and binders available (at the regional office locations). Contact the regional office for the request (see “Contacting DSA,” Section 3.1.1).
- **Document Required List.** There may exist (newer projects) an electronic document required list. This list specifies the documents required for a specific project to be certified. This document required list is found on our web site (See Appendix A).
- **DSA Information Management System.** Some project documents have been scanned and uploaded into the DSA IMS. Since the IMS is part of the DGS computer network, only DSA employees have access into the IMS. For documents that are known to be previously submitted to DSA but are “missing” a search of the IMS may be requested. (See “Contacting DSA,” Section 3.1.3).

5.5.2 Obtaining Documents from Others

Missing documents and/or alternate documents are frequently found in the files of other parties involved in the design, construction, testing and inspection. Search of the files of the district, design professionals, inspectors, testing laboratories, construction managers and contractors should be made in an effort to locate documents.

5.6 PROJECT CONSTRUCTION SCOPE NOT COMPLETED

Sometimes, the cause of projects to be close without certification is incomplete construction of required scope. All project scope required to comply with codes and regulations must be complete in order to certify the construction. Incomplete scope could involve the following:

- Accessible Restrooms
- Accessible features (ramps, handrails, signs, parking, doors, thresholds, etc...)

- Fire Life Safety Features (alarms, sprinklers, devices, gates, etc...)
- Structural components (rare but does occur at times)

5.6.1 Completion of Scope

There are various ways project scope can be completed:

- If not more than 4 years, from the time of DSA original approval of the project, has passed; the project scope may be completed under the original application number.
- Submit the incomplete work to DSA as a “new project” under a new application number. DSA will then link this new application number with the old, uncertified application number and, when all work is complete and all issues resolved, certify both projects together.
- Include the incomplete work as part of a new, different project occurring on the campus. The New DSA application will then include this old, incomplete work as part of the required scope of the new project. DSA will then link this new application number with the old, uncertified application number and, when all work is complete and all issues resolved, certify both projects together. DSA will not continue this linking beyond two projects (in this case the district will need to complete the work as a specific project under an application for which the scope is limited to the incomplete work).

5.7 CONSTRUCTION DEFICIENCIES

Sometimes, the cause of projects to be close without certification is construction that does not comply with the DSA approved construction documentation or otherwise identified as non-compliant. Resolving the issues could include the following:

- Submit documentation to DSA to show the construction is compliant with the applicable codes and/or regulations. Documents may present alternate methods and materials (as allowed by code) and may include calculations, drawings, research papers, professional papers, testing data, manufacturer literature and/or other documents necessary to present and justify the as-built condition is appropriate.
- Re-construct the deficient/non-compliant construction under the original application number.
- Submit the deficient/non-compliant work to DSA as a “new project” under a new application number. DSA will then link this new application number with the old, uncertified application number and, when all work is complete and all issues resolved, certify both projects together.
- Include the deficient/non-compliant work as part of a new, different project occurring on the campus. The New DSA application will then include this old, incomplete work as part of the required scope of the new project. DSA will then link this new application number with the old, uncertified application number and, when all work is complete and all issues resolved, certify both projects together. DSA will not continue this linking beyond two projects.

5.8 MISSING DSA-102 (CONTRACT INFORMATION)

(See Sections 4.4.5 and 4.11 for discussion about the form).

If the DSA-102 is missing then a new form must be submitted to DSA

- The form is required to be signed by the design professional in responsible charge of the project. If that person is not able to sign the form then DSA will accept a letter from the district superintendent stating that “efforts to have form DSA-102 signed by the design professional in responsible charge have been made and exhausted and therefore, as a reasonable alternate, the district superintendent is signing the form”. DSA will then accept the form with the signature of the district superintendent.

5.9 MISSING OR INCOMPLETE DSA-291 (LABORATORY VERIFIED REPORT) - MISSING TESTING:

(See Section 4.6 for discussion about the form).

If the DSA-291 is missing and/or there are missing tests then a new form must be submitted and/or additional tests that must take place and/or alternate methods must be presented to and approved by DSA.

- DSA will accept an affidavit (“Customized lab verified report”), signed by the lab manager, stating that all required testing has been completed (only for projects that construction has been completed prior to January 1, 2006. Otherwise use Form DSA-291).
- DSA will accept a DSA-6 form signed by the lab manager stating that all required testing has been completed (only for projects that construction has been completed prior to January 1, 2006. Otherwise use Form DSA-291).
- If the laboratory engineer is refusing to provide a signed DSA-291, then contact the DSA Regional Office Supervisor for the Field Unit (see Section 3.1.4). DSA may be able to assist by ordering the laboratory to issue the form.
- Submit evidence all testing has been performed and the materials/construction was found to be in compliance with the construction documents. With such evidence, DSA can make the reasonable conclusion that if it were possible, the laboratory engineer would sign a DSA-291 form. The evidence must include:
 - A letter from the district superintendent stating that “efforts to have form DSA-291 signed by the laboratory engineer, in charge of the laboratory responsible for project testing have been made and exhausted”.
 - Laboratory tests and their results.
 - Proof that the tests submitted included all the required testing for the project. Such proof could be a comparison between the submitted documentation and the project approved T&I sheet or a statement from the design professional that describes the construction, the materials used, all code required testing and comparison of the submitted documentation with the code required testing.
- Perform in-situ tests for some or all the testing missing. After which, submit the DSA-291 form.
- Develop a testing program for the missing tests. The program must involve the following components:
 - The program must be developed by a California licensed Architect and/or Structural Engineer.
 - The program must be presented to and approved by DSA
 - The Testing Laboratory involved in the program must be LEA (DSA) approved.

- The Laboratory Manager for the Testing Laboratory involved in the program must file a DSA-291 at the conclusion of the program testing.
 - The person who developed the program must file a DSA-6A/E specifically stating the testing was conducted in accordance with the DSA approved program.
- Submit documentation to DSA to show the identified tests are not necessary in order to provide proof that the materials used and/or construction were reasonably compliant with the applicable codes and/or regulations. Acceptance by DSA will be predicated on many factors including project type, construction type, material type, other project documentation, structural significance, life/safety hazards, professional judgment, and professional experiences. The Documents presented must be prepared by a California licensed Architect or Structural Engineer and must include written narrative. These documents may include:
 - Evidence the materials did not occur in the construction and therefore the testing was not required
 - Alternate methods (as allowed by code) which may be comprised of calculations, drawings, research papers, professional papers, testing data, manufacturer literature and/or other documents necessary to present and justify the as-built condition is appropriate.
 - Structural Calculations showing capacity versus demand stress levels are very low (1/2 stress). This is very problematic for DSA to accept and is very much tied into structural significance and/or potential structural hazard present.
- If testing was performed by a Laboratory that was not LEA (DSA) approved then DSA will not accept a verified lab report from that lab. One resolution to this issue is for the district to hire a LEA (DSA) approved Laboratory (assuming Laboratory) to review the non-approved lab records, project records, test results and any other documentation necessary to determine all testing required for the project was completed and the testing results show the tested materials were in compliance with the approved construction documents. The assuming laboratory may need to perform additional tests and/or inspections to reach such a conclusion. Upon reaching the said conclusion, the assuming laboratory shall then submit a fully executed DSA-291 form

5.10 MISSING OR INCOMPLETE DSA-292 (SPECIAL INSPECTOR VERIFIED REPORT) - MISSING SPECIAL INSPECTIONS

(See Section 4.7 for discussion about the form).

If the DSA-292 is missing and/or there are missing special inspections then a new form must be submitted and/or additional inspections that must take place and/or alternate methods must be presented to and approved by DSA.

- DSA will accept an affidavit ("Customized special inspection verified report"), signed by the special inspector, stating that the specifically listed required special inspection has been completed and the construction found to be in compliance with the construction documents (only for projects that construction has been completed prior to January 1, 2006. Otherwise use Form DSA-292).
- DSA will accept a DSA-6 form signed by the special inspector, stating that the specifically listed required special inspection has been completed and the

construction found to be in compliance with the construction documents (only for projects that construction has been completed prior to January 1, 2006. Otherwise use Form DSA-292)

- If the special inspector is refusing to provide a signed DSA-292, then contact the DSA Regional Office Supervisor for the Field Unit (see Section 3.1.4). DSA may be able to assist by ordering the special inspector to issue the form.
- Submit evidence the special inspection(s) has been performed and the materials/construction was found to be in compliance with the construction documents. With such evidence, DSA can make the reasonable conclusion that, if it were possible, the special inspector would sign a DSA-292 form. The evidence must include:
 - A letter from the district superintendent stating that “efforts to have form DSA-292 signed by the special inspector have been made and exhausted”.
 - Daily special inspection logs and/or reports showing the inspections, the results and a time comparison correlation that makes it reasonable to assume the logs/reports cover the entire period that encompassed the construction that required the special inspection(s).
- If the Special Inspector cannot be located and was employed (by contract or direct employee) by a LEA (DSA approved laboratory then DSA may consider the special inspection work to have been performed under the direct supervision of a California Licensed Civil Engineer (the laboratory managing civil engineer) and therefore will accept a letter (stamped and signed) from that Civil Engineer (the laboratory managing civil engineer) that states the following:
 - “Efforts to have form DSA-292 signed by the special inspector (list the person) have been made and exhausted”.
 - “I (the Civil Engineer) certify under penalty of perjury that the special inspections (list what inspections) were performed under my direct supervision, I am sufficiently experienced in the technical aspects of the subject inspections to provide professional engineering opinions on the subject, and that I have reviewed the special inspection records and find that the special inspections were properly executed and the inspected construction complies with the approved construction documents.”
 - The letter must include, as attachments, the inspection records that were reviewed.
- Develop an inspection program for the missing inspections. The program must involve the following components:
 - The program must be developed by a California licensed Architect and/or Structural Engineer.
 - The program must be presented to and approved by DSA
 - The inspector involved in the program must be DSA approved.
 - The inspector involved in the program must file a DSA-292 at the conclusion of the program inspections.
 - The person who developed the program must file a DSA-6A/E specifically stating the inspection was conducted in accordance with the DSA approved program.

- Submit documentation to DSA to show the identified inspections are not necessary in order to provide proof that the materials used and construction were reasonably compliant with the applicable codes and/or regulations. Acceptance by DSA will be predicated on many factors including project type, construction type, material type, other project documentation, structural significance, life/safety hazards, professional judgment, and professional experiences. The Documents presented must be prepared by a California licensed Architect or Structural Engineer and must include written narrative. These documents may include:
 - Evidence the construction identified as requiring a special inspection did not occur and therefore the special inspection was not required
 - Alternate methods (as allowed by code) which may be comprised of calculations, drawings, research papers, professional papers, testing data, manufacturer literature and/or other documents necessary to present and justify the as-built condition is appropriate.
 - Structural Calculations showing capacity versus demand stress levels are very low (1/2 stress). This is very problematic for DSA to accept and is very much tied into structural significance and/or potential structural hazard present.

5.11 MISSING OR INCOMPLETE DSA-293 (GEOTECHNICAL VERIFIED REPORT)

(See Section 4.8 for discussion about the form).

If the DSA-293 is missing and/or there are missing geotechnical tests and inspections then a new form must be submitted and/or additional tests/inspections must take place and/or alternate methods must be presented to and approved by DSA.

- DSA will accept an affidavit (“Customized special inspection verified report”), signed by the Geotechnical Engineer of Record, stating that all engineered fill tests and inspections have been completed (only for projects that construction has been completed prior to January 1, 2006. Otherwise use Form DSA-293).
- DSA will accept a DSA-6 form signed by the Geotechnical Engineer of Record, stating that all engineered fill tests and inspections have been completed (only for projects that construction has been completed prior to January 1, 2006. Otherwise use Form DSA-293).
- If the geotechnical engineer is refusing to provide a signed DSA-293, then contact the DSA Regional Office Supervisor for the Field Unit (see Section 3.1.4). DSA may be able to assist by ordering the geotechnical engineer to issue the form.
- Retain the services of a California licensed geotechnical engineer to review all geotechnical documents, tests and test results in conjunction with a submittal of evidence the geotechnical tests and inspections have been performed and the materials/construction was found to be in compliance with the project geotechnical report and approved construction documents. Documents submitted to DSA must then include:
 - A letter from the district superintendent stating that “efforts to have form DSA-293 signed by the geotechnical engineer or record have been made and exhausted”. And therefore another geotechnical engineer has been retained.

- A letter from the replacement geotechnical engineer stating that, in his/her professional opinion, based on thorough review of all documents, all required geotechnical tests and inspections were performed and the results indicate the soils were prepared in accordance with recommendations of the project geotechnical report and the DSA approved construction documents.
 - Daily geotechnical inspection logs showing the inspections, the results and a time comparison correlation that makes it reasonable to assume the logs cover the entire period that encompassed the construction that required the geotechnical inspections.
 - Laboratory tests and their results.
- Develop an inspection and testing program for the missing geotechnical tests and inspections. The program must involve the following components:
 - The program must be developed by a California licensed Geotechnical Engineer.
 - The program must be presented to and approved by DSA
 - The geotechnical Engineer, laboratory and inspector involved in the program must be DSA approved.
 - The Geotechnical Engineer involved with the program must file a DSA-293 at the conclusion of the program
- Submit documentation to DSA to show geotechnical tests and inspections (engineered fill) were not necessary and the earthwork constructed was reasonably compliant with the applicable codes and/or regulations. Acceptance by DSA will be predicated on many factors including project type, construction type, soil type, other project documentation, structural significance, geotechnical hazards, professional judgment, and professional experiences. The Documents presented must be prepared by a California geotechnical engineer and must include written narrative.

5.12 MISSING OR INCOMPLETE DSA-6, DSA-6A/E (VERIFIED REPORTS)

(See Sections 4.9 and 4.11 for general discussion about the forms).

If DSA form 6 for inspectors, contractors and/or design professionals are missing, incomplete or not listed at construction 100% complete; the following resolutions may be pursued:

5.12.1 DSA-6 (Project Inspector)

The DSA-6 for the project inspector is one of the most important close-out documents. With this document missing or incomplete, certification of the project becomes complex. Here are some possible resolutions that can be pursued.

- If the inspector is refusing to provide a signed DSA-6, then contact the DSA Regional Office Supervisor for the Field Unit (see Section 3.1.4). DSA can order the inspector to submit the form.
- District hire a California licensed Architect and/or Structural engineer to produce and submit a report that provides reasonable evidence appropriate inspections have been performed and that based on their research, document review and professional judgment; the materials and construction were found to be in essential compliance with the approved construction documents and applicable

building codes. With such evidence, DSA can make the reasonable conclusion that, if it were possible, the project inspector would sign a DSA-6 form. Acceptance of this alternative by DSA will be predicated on many factors including project type, construction type, material type, other project documentation, structural significance, life/safety hazards, professional judgment, and professional experiences. The evidence and report must include:

- A letter from the district superintendent stating that “efforts to have form DSA-6 signed by the project inspector have been made and exhausted”.
- Written concurrence by DSA that this alternative is acceptable for the subject project.
- Daily special inspection logs, semi-monthly reports or quarterly reports showing the inspector was present at the site, performing inspections, the inspection results and a time comparison correlation that makes it reasonable to assume the logs and/or reports cover the entire construction period.
- DSA field trip notes (if exist)
- A DSA-6 signed by the Architect and/or Structural Engineering preparing the report stating that based on their research, document review and professional judgment the materials and construction were found to be in essential compliance with the approved construction documents and applicable building codes (Structural, Fire Life Safety and Accessibility) in effect at the time of the construction.
- Develop a post construction inspection program. The program must involve the following components:
 - The program must be developed by a California licensed Architect and/or Structural Engineer.
 - The program must be presented to and approved by DSA
 - The inspector involved in the program must be DSA approved.
 - The inspector involved in the program must file a DSA-6 at the conclusion of the program inspections.
 - The person who developed the program must file a DSA-6A/E specifically stating the inspection was conducted in accordance with the DSA approved program.
- For a DSA-6 showing construction less than 100% complete:
 - DSA will accept and approve as long as the outstanding issues listed in the form are resolved and the resolutions do not require the inspector to verify any as-built conditions
 - District hire a new DSA approved inspector to finish inspecting/verifying the outstanding issues and then submit a DSA-6 covering the final work.

5.12.2 DSA-6 (Contractor(s))

In many instances it is not possible for the district to obtain a DSA-6 from all the contractors. The value of a DSA-6 from contractors is questionable and in the opinion of many persons involved in the process adds no safety to the process. Therefore, DSA will accept the following alternate document:

- A letter from the district superintendent stating:

- Efforts to have form DSA-6 signed by the project contractor(s) have been made and exhausted.
- Construction is 100% complete and, to the best knowledge of the district, has been constructed in full compliance with the DSA approved construction documents.
- All scope shown in the DSA approved construction documents has been constructed. If not all scope has been constructed then the letter should provide a list of those items not constructed and state that except as listed, all scope shown in the DSA approved construction documents has been constructed.

5.12.3 DSA-6A/E (Design professionals)

The DSA-6 A/E for the design professionals involved in the project is an important form. The level of their involvement determines potential resolutions if the form is missing:

5.12.3.1 Design professional in responsible charge

- This is the person listed on the DSA-1 project application as the person responsible for the preparation of the plans and specifications and observations of construction. Usually this is the project Architect, but is sometimes listed as a Structural Engineer, Mechanical Engineer or Electrical Engineer.
- Alternate resolution to missing or incomplete form DSA 6A/E may be for the District to hire a California licensed Architect or Structural engineer to produce and submit a report that provides reasonable evidence that based on their research, document review, site visits and professional judgment; the materials and construction were found to be in essential compliance with the approved construction documents and applicable building codes (Structural, Fire Life Safety and Accessibility). With such evidence, DSA can make the reasonable conclusion that, if it were possible, the original design professional in responsible charge would sign a DSA-6A/E form. The evidence and report must include:
 - A letter from the district superintendent stating that “efforts to have form DSA-6A/E signed by the original design professional in responsible charge have been made and exhausted”.
 - DSA forms 291,292,293 and 6 as applicable (or alternates as discussed in this document)
 - DSA field trip notes (if exist)
 - DSA-108 (see Section 4.3)
 - A DSA-6A/E signed by the Architect or Structural Engineering preparing the report stating that based on their research, document review, site visits and professional judgment the materials and construction were found to be in essential compliance with the approved construction documents and applicable building codes in effect at the time of the construction.

5.12.3.2 Other Design Professionals

- These are the design professionals listed on the DSA-1 project application that have been delegated the responsibility for the preparation of specific portions of the plans and specifications and observations of construction. Usually these design professionals are the Structural Engineer, Mechanical Engineer, Electrical Engineer (and sometimes Architects).

- Alternate resolution to missing or incomplete DSA-6A/E may be comprised of the following:
 - A letter from the district superintendent stating that “efforts to have the DSA-6A/E form(s) signed by the specific design professional(s) have been made and exhausted”
 - A DSA-6A/E (or alternate as described above) from the design Professional in responsible charge. The DSA-6A/E must include a statement (or attaches a letter that states) based on their research, document review, site visits and professional judgment the materials and construction for those portions of the project (actually list the portion) delegated to other design professionals (actually list the design professional) were found to be in essential compliance with the DSA approved construction documents and applicable building codes in effect at the time of the construction.

5.13 MISSING NOTICE OF COMPLETION (NOC)

(See Section 4.10 for discussion about the form).

If the notice of completion is missing then the notice must be submitted. DSA will accept one notice of completion for the entire project or separate notices of completion for each separate prime contract for the project. DSA will accept the NOC in either of the following formats:

- Notice on School District Letterhead (signed by School District Assistant Superintendent of Business Services)
- Notice filed with County Recorder

5.14 MISSING APPROVED CHANGE ORDERS

(See Sections 4.12 and 4.11 for discussion about change orders).

If DSA approved change orders are missing then the following resolutions may be pursued:

- Submit the change orders for DSA review and approval
 - Since project certification requires approved change orders and since DSA requires a complete package to re-open closed projects; DSA will accept, review and approve missing change orders prior to re-opening a closed project
 - If the change orders show noncompliance with the codes in effect at the time of the original plan approval, then the change orders will need to be revised which, could result in mitigating construction and/or additional DSA-6 submittals.
- For change orders that do not change the contract cost and that do not contain Structural, Fire Life Safety and/or Accessibility issues DSA will accept the following as an alternate to the change order submittal:
 - A letter from the design professional in responsible charge of the project that includes the change order number, the name of the contractor involved, a description of the changes, and a statement that the change order does not change the contract cost does not contain Structural, Fire Life Safety and/or Accessibility issues.
- For change orders that have DSA approval but DSA records and/or DSA Tracker does not show the approval:

- Submit a copy of the approved change order to DSA along with a letter explaining the issue and a request for DSA to correct their records. (Approved change orders are stamped with a DSA approval stamp).
- For change orders that are shown as existing but in fact never occurred. There may be cases where a change order is shown in the DSA Tracker but in fact never existed and is just a data entry error. There may also be cases where the wrong number of change orders are shown on one of the DSA-6 forms:
 - Submit a letter signed by both the design professional in responsible charge of the project and the district superintendent attesting that the change order never occurred and any records showing the existence of the change order are in error.

5.15 MISSING APPROVED DEFERRED APPROVAL

(See Section 4.13 for discussion about deferred approvals).

If DSA approved deferred approvals are missing then the following resolutions may be pursued:

- Submit the deferred approvals for DSA review and approval
 - Since project certification requires approved deferred approvals and since DSA requires a complete package to re-open closed projects; DSA will accept, review and approve missing deferred approvals prior to re-opening a closed project
 - If the deferred approvals show noncompliance with the codes in effect at the time of the original plan approval, then the deferred approval submittals will need to be revised which, could result in mitigating construction and/or additional DSA-6 submittals.
- For deferred approvals that have DSA approval but DSA records and/or DSA Tracker does not show the approval:
 - Submit a copy of the deferred approval to DSA along with a letter explaining the issue and a request for DSA to correct their records. (Approved deferred approvals are stamped with a DSA approval stamp).
- For deferred approvals that are shown as required but in fact never occurred. There may be cases where a deferred approval is shown in the DSA records and/or on the approved plans that in fact was not actually required due to changes in the construction that eliminated the scope that required deferred approval or due to some error. If this is the case then:
 - For projects that change in scope eliminated the need for deferred approval: Submit proof to DSA that the change in project scope eliminated the need for the deferred approval (in this case, DSA must approve the change in project scope)
 - For projects that records, indicating deferred approval, are in error: Submit a letter signed by the design professional in responsible charge of the project attesting that the need for the deferred approval never occurred and any records showing the existence of the change order are in error. DSA may require additional verification in the form of a copy of the approved plans.

5.16 MISSING APPROVED ADDENDA

(See Section 4.14 for discussion about addenda).

If DSA approved addenda are missing then the following resolutions may be pursued:

- Submit the addenda for DSA review and approval
 - Since project certification requires approved addenda and since DSA requires a complete package to re-open closed projects; DSA will accept, review and approve missing addenda prior to re-opening a closed project.
 - If the addenda show substantial modifications to the approved plans (Reviewing the addenda is estimated to take four or more hours) then DSA may charge, based on the estimated number of hours, to review the addenda, and be paid additional fees prior to performing the work.
 - If the addenda show noncompliance with the codes in effect at the time of the original plan approval, then the addenda will need to be revised which, could result in mitigating construction and/or additional DSA-6 submittals.
- For addenda that do not contain Structural, Fire Life Safety and/or Accessibility issues, DSA will accept the following as an alternate to the addenda submittal:
 - A letter from the design professional in responsible charge of the project that includes the addendum number, a description of the addendum, and a statement that the addendum does not contain Structural, Fire Life Safety and/or Accessibility issues.
- For addenda that have DSA approval but DSA records and/or DSA Tracker does not show the approval:
 - Submit a copy of the approved addenda to DSA along with a letter explaining the issue and a request for DSA to correct their records. (Approved addenda are stamped with a DSA approval stamp).
- For addenda that are shown as existing but in fact never occurred. There may be cases where an addendum is shown in the DSA Tracker but in fact never existed and is just a data entry error:
 - Submit a letter signed by the design professional in responsible charge of the project attesting that the addendum never occurred and any records showing the existence of the addendum are in error.

5.17 MISSING APPROVED REVISIONS

(See Section 4.15 for discussion about revisions).

If DSA approved revisions are missing then the following resolutions may be pursued:

- Submit the revision for DSA review and approval
 - Since project certification requires approved revisions and since DSA requires a complete package to re-open closed projects; DSA will accept, review and approve missing revisions prior to re-opening a closed project.
 - If the revisions show substantial modifications to the approved plans (Reviewing the revisions is estimated to take four or more hours) then DSA may charge, based on the estimated number of hours, to review the revisions, and be paid additional fees prior to performing the work.
 - If the revisions show noncompliance with the codes in effect at the time of the original plan approval, then the revisions will need to be revised which, could result in mitigating construction and/or additional DSA-6 submittals.

- For revisions that do not contain Structural, Fire Life Safety and/or Accessibility issues, DSA will accept the following as an alternate to the revision submittal:
 - A letter from the design professional in responsible charge of the project that includes the revision number, a description of the revision, and a statement that the revision does not contain Structural, Fire Life Safety and/or Accessibility issues.
- For revisions that have DSA approval but DSA records and/or DSA Tracker does not show the approval:
 - Submit a copy of the approved revision to DSA along with a letter explaining the issue and a request for DSA to correct their records. (Approved revisions are stamped with a DSA approval stamp).
- For revisions that are shown as existing but in fact never occurred. There may be cases where an addendum is shown in the DSA Tracker but in fact never existed and is just a data entry error:
 - Submit a letter signed by the design professional in responsible charge of the project attesting that the revision never occurred and any records showing the existence of the addendum are in error.

5.18 MISSING FEES

(See Section 4.16 for discussion about fees).

All fees due to DSA shall be paid in full prior to project certification. There are no known exceptions

5.19 VOIDED AND/OR CANCELLED APPLICATIONS (PROJECTS)

(See Sections 1.6.5 and 1.6.6 for discussion about cancelled and voided projects).

For projects that which the DSA application number has been voided and yet the project was constructed (clear violation of the education code) the following resolutions may be pursued:

- 5.19.1** The project was approved by DSA prior to the cancellation or voiding, and construction started within 4 years of DSA project approval:
- DSA will reinstate the application number (rescind the cancellation/voidance) and start project closeout upon receipt of the following:
 - Written request from the district superintendent requesting reinstatement of the application.
 - Submitted proof (signed contracts with contractors or other appropriate documentation) that construction started (contracts signed) within the time frames stated above
 - Fees repaying DSA reimbursement (if occurred) to the district when the application number was cancelled or voided.
- 5.19.2** The project was approved by DSA prior to the cancellation or voiding, and construction started after 4 years of DSA project approval:
- Unfortunately, DSA cannot reinstate the cancelled or voided application. Instead the following actions may occur.
- A new DSA application is required.

- **Option 1:** The project construction documents must comply with the current codes in effect at the time the new application is submitted (or use the other option listed below):
 - The new DSA approved plans can be compared with the original plans used for construction. If there are no changes that require mitigating construction (reconstruction) then the project inspector may file DSA-6 and other documents required for certification may be filed. If there are changes that require mitigating construction (re-construction) then the project inspector needs to inspect that construction for conformance prior to completing the DSA-6 and, after the mitigating construction is complete, other documents required for certification may be completed and filed with DSA. DSA will initiate closeout efforts at the appropriate time.
- **Option 2:** The project can be submitted to DSA as “rehabilitation of nonconforming building for school use”. This option requires a meeting with DSA prior to submittal and has specific submittal and design criteria. DSA web site has information under “publications” tab that explains the process. While the processes outlined in the publication is correct, the structural technical requirements must comply with 2007 CBC chapter 34 instead of the 2001 CBC requirements shown in the publication.

5.19.3 The project was never approved by DSA prior to the application cancellation or voidance.

Unfortunately, if more than 4 years has passed since the original project submittal or a new code has been adopted since the project was first submitted, then DSA cannot reinstate the cancelled or voided application instead the following actions may occur.

- A new DSA application is required.
- **Option 1:** The project construction documents must comply with the current codes in effect at the time the new application is submitted (or use the other option listed below):
 - The new DSA approved plans can be compared with the original plans used for construction. If there are no changes that require mitigating construction (reconstruction) then the project inspector may file DSA-6 and other documents required for certification may be filed. If there are changes that require mitigating construction (re-construction) then the project inspector needs to inspect that construction for conformance prior to completing the DSA-6 and, after the mitigating construction is complete, other documents required for certification may be completed and filed with DSA. DSA will initiate closeout efforts at the appropriate time.
- **Option 2:** The project can be submitted to DSA as “rehabilitation of nonconforming building for school use”. This option requires a meeting with DSA prior to submittal and has specific submittal and design criteria. DSA web site has information under “publications” tab that explains the process. While the processes outlined in the publication is correct, the structural technical requirements must comply with 2007 CBC chapter 34 instead of the 2001 CBC requirements shown in the publication.

5.20 MISSING DSA-5 FORM (APPLICATION FOR DSA APPROVAL OF AN INSPECTOR)

This form is not required to be submitted for project certification

5.21 TESTING AND INSPECTION FORM (T&I FORM)

For most projects a T&I form is submitted to DSA at project stampout (approval). This T&I form is not a document DSA requires for project certification but is instead used by DSA to determine the tests and inspections that are both code required and Designer required. DSA then uses the information on the T&I form to determine if all tests and inspections identified on the form have been completed. Sometimes the project design professionals list items on the T&I form that are not code required and thus can be removed at their request. Sometimes, the design professional (or their delegate) simply has just checked all boxes on the T&I form as an expeditious method of obtaining DSA plan approval and/or just did not know better. Since some Tests and Inspections may be designer required (rather than code required), DSA staff typically lets the design professional check as many of the boxes on the form as they want (each box represents a different test and/or inspection. It is therefore not unusual for the T&I form to be inaccurate and to list, as required, more tests and inspections than the code minimum. If the inaccuracy of the T&I form is causing project certification issues then the following resolution may be appropriate:

- The design professional responsible for submission of the T&I form (usually structural engineer on larger projects and architect on smaller projects) may submit a letter that modifies the original T&I form. The letter must provide adequate justification for the removal of any test or inspection originally identified as required. DSA may require additional verification in the form of a copy of the approved plans

5.22 MATERIALS

This section provides some strategies on resolving issues specific to construction materials. The acceptability of these strategies must be determined by a qualified California Structural Engineer (or in some cases Architect) and require concurrence and acceptance from DSA. DSA concurrence and acceptance will be predicated on many factors including project type, construction type, material type, other project documentation, structural significance, life/safety hazards, professional judgment, and professional experiences. In all cases, a California Licensed Structural Engineer and/or Architect may prepare a program of testing and inspections; submit to DSA for concurrence and approval and execute the program. DSA will accept a program in which the structures, members and/or components are load tested in compliance with the California Building Code and/or accepted National Standards.

5.22.1 Concrete

- Batch plant report missing
 - Conditions for Waiver of batch plant inspections are listed in Title 24. For the purposes of this document see 2001 CBC Section 1929A.4. If the project circumstances comply with the conditions listed in that code section then the Structural Engineer or Architect can submit a letter to DSA justifying the waiver
 - Compressive tests results may justify the acceptance as an alternate
 - Submit proof concrete came from an automated and certified plant
 - Submit proof concrete came from a Caltrans certified batch plant.
 - Provide justification weighmaster or trip tickets should be accepted as an alternate
 - Core the concrete to test

- Project types (insignificant concrete use or non-structural concrete use) can result in waiver
- Laboratory tests missing
 - Core the concrete to test (compression)(or if required, petrographic, chemical)
 - Project types (insignificant concrete use or non-structural concrete use) can result in waiver
 - Non-destructive testing as approved by DSA
- Reinforcing tests missing
 - Project types (insignificant concrete use or non-structural concrete use) can result in waiver.
 - Provide Mill Certs
 - Destructive Testing
 - Provide Calculations to show low stress levels (1/2 stress)

5.22.2 Masonry

- Laboratory tests or Special Inspection Report Missing
 - Core the masonry to test (compression)(or if required, petrographic, chemical)
 - Project types (insignificant masonry use such as ball walls, trash enclosures, low fence walls, low retaining walls) can result in waiver
 - Non-destructive testing as approved by DSA
 - Destructive Testing as approved by DSA
 - Provide Calculations to show low stress levels (1/2 stress)
 - Provide calculations to show low stress levels ($\frac{3}{4}$ stress) along with letter from project inspector that the masonry was inspected.
 - In-plane shear tests
- Reinforcing tests missing
 - Project types (insignificant masonry use) can result in waiver.
 - Provide Mill Certs
 - Destructive Testing
 - Provide Calculations to show low stress levels (1/2 stress)
- Laboratory tests show face shell adhesion problem
 - Provide structural calculations for the masonry without face shells (essentially calculate as a concrete wall)
 - Core wall for more testing
 - Project types (insignificant masonry use such as ball walls, trash enclosures, low fence walls, low retaining walls) can result in waiver

5.22.3 Wood

- Glulam In-plant inspection reports missing.
 - Upon request from a California licensed Structural Engineer or Architect, DSA will waive special inspection requirements for noncustom members 51/8 inch maximum width and 18 inch maximum depth with a maximum clear span of

32 feet, manufactured and marked in accordance with the essential requirements of ANSI/AITC A 190.1 Section 6.6.1 for noncustom members. The request must include a statement of compliance with the above and a statement that the member markings were field observed.

- DSA may accept AITC fabrication report and visual inspection by a qualified DA approved inspector
- Gang Nail Truss (and other open web wood trusses) In-plant reports missing
 - DSA will accept visual in-situ inspection by a qualified DSA approved inspector. Such inspection may require in-situ lumber grading.

5.22.4 Steel

- Testing reports missing for unidentified steel
 - Coupon test of in-situ steel
 - Structural Engineer submit letter requesting waiver of testing in combination with calculations showing the member(s) working stress level under full code load is 0.4 Fy (or less).
- Testing reports missing for high strength bolts
 - Structural Engineer submit letter requesting waiver of testing in combination with calculations showing the stress level under full code loading is appropriate for equivalent bolts that are not high strength
 - Develop testing program to remove (and replace) appropriate sampling of bolts for testing
 - Remove and replace all high strength bolts (with adequate testing).
- Testing reports missing for torque testing of high strength bolts
 - Structural Engineer submit letter requesting waiver of testing in combination with calculations showing the stress level under full code loading is appropriate for equivalent bolts that are not high strength
 - Torque test all high strength bolts
- Inspection and/or testing reports missing for welding
 - Single pass fillet welds at ½ stress: Provide visual inspection by DSA approved qualified welding inspector
 - Provide in-situ non-destructive testing and inspections

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SECTION 6 - UNIQUE STRUCTURES

6.1 GENERAL

This section provides some strategies on resolving issues that may be unique to specific structure types. The acceptability of these strategies must be determined by a qualified California Structural Engineer (or in some cases Architect) and require concurrence and acceptance from DSA. DSA concurrence and acceptance will be predicated on many factors including project type, construction type, material type, other project documentation, structural significance, life/safety hazards, professional judgment, and professional experiences. In all cases, the structure can be submitted to DSA as “rehabilitation of nonconforming building for school use”. This option requires a meeting with DSA prior to submittal and has specific submittal and design criteria. DSA web site has information under “publications” tab that explains the process. While the processes outlined in the publication is correct, the structural technical requirements must comply with 2007 CBC chapter 34 instead of the 2001 CBC requirements shown in the publication. For some structures it may be acceptable for a California Licensed Structural Engineer and/or Architect to prepare a program of testing and inspections; submit to DSA for concurrence and approval and execute the program. DSA will also accept a program in which the structures are load tested in compliance with the California Building Code and/or accepted National Standards.

6.2 FREE STANDING SIGNS, SCOREBOARDS, FENCING AND NON-RETAINING WALLS

These projects are usually uncomplicated, simple structural systems and pose an extremely low potential for hazard to people in the unlikely event of structural failure. If any of these structures, in the opinion of DSA do not fall within these parameters then use of this section (Section 6.2) will not be accepted.

- As an alternate to Type 1 certification (requires all documents) DSA will accept and certify as Type 2 (see Section 1.6.2) these projects if the following documents are submitted:
 - Letter from the district stating the project is complete and requesting Certification & Close of File Per EDU Code 39157(b)
 - DSA-6 from the project inspector

6.3 RELOCATABLE BUILDINGS (ONE STORY MODULAR RELOCATABLE BUILDINGS)

The closing requirements for relocatable building projects have some unique features as discussed in this section. Relocatable buildings can be either the entire scope or part of the scope. See DSA IR 16-1 for related discussion

6.3.1 Types of Relocatable Buildings

Relocatable buildings are fabricated in a plant as units. The relocatable units are delivered to a school site where they are placed on a foundation and connected to electrical and plumbing systems (if necessary). Relocatable unit numbers, configurations and sizes can vary: they can be designed and installed as one standalone unit or multiple units can be combined to form a single building.

6.3.2 Inspection Requirements

Relocatable buildings require an in-plant inspector, a project inspector, or both depending on the project scope:

- Project scope is “stockpile” (building is not located at a specific site but instead is stockpiled awaiting purchase, lease or otherwise awaiting site location)
 - In-plant inspector is required
- Project scope is “relocation” or “alteration” (building is to be located at a specific site and is coming from stockpile or a previous site location) (see [Appendix B](#) for further discussion)
 - Project inspector is required
- Project scope is “Construction Of...” (building is constructed for a specific site and is site located directly from the plant)
 - In-plant inspector is required
 - Project inspector is required

Project Scope	DSA-6 from In-plant Inspector Required?	DSA-6 from Project Inspector Required?
Stockpile	Yes	No
Relocation	No	Yes
Construction	Yes	Yes

6.3.3 Relocatable Building Numbering

- Each Relocatable building unit (module) is required to be identified with an ID tag. The ID tag contains the original DSA application number under which the unit was fabricated and a unique serial number.
- Each Relocatable building manufacturer uses a unique numbering system. As part of DSA certification, the correct number of building units (modules) and the corresponding (and correct) serial numbers must be provided for each building unit (module) on the DSA-6 forms. Units (modules) are typically 10 feet to 12 feet wide. The following table can provide assistance in making a determination on the number of units(modules) it takes to make up a complete building:

Building Type	Dimensions (in feet)	# of Relocatable Units (modules)	Number of Serial #s
Toilet	12x40	1	1
Classroom	24x40	2	2
Kindergarten	36x30	3	3
Multi-purpose	48x40	4	4

6.3.4 DSA-6 Requirements

In-plant and project inspectors are each required to submit DSA-6 forms. It is essential that the serial numbers be included in the DSA-6 to specifically identify the buildings and the corresponding units (modules) covered by the report. For projects that require both in-plant inspector and project inspector, the application number and serial numbers must match on both inspectors' DSA-6 forms.

6.3.5 Documentation required for DSA Certification

See [Appendix B](#) for related discussion

See Section 6.3.2 for related discussion

See Section 6.3.4 for special requirements for inspector DSA-6 forms

- Project scope is “stockpile” :
 - DSA-6 from in-plant inspector
 - DSA-292 or DSA-6 from in-plant welding inspector
 - Approved Change Orders, Addenda and/or Revisions
 - Any Additional Fees
- Project scope is “relocation” or “alteration” :
 - DSA-6 from project inspector
 - DSA-6 from design professional in responsible charge (Architect)
 - Electrical grounding test results (performed by the project inspector or DSA approved Laboratory. The results may be reported using DSA-6, DSA-121 or a separate report. (Any building with an electrical resistance exceeding 25 ohms must have a second grounding rod).
 - Notice of Completion from District
 - Approved Change Orders, Addenda and/or Revisions
 - Any Additional Fees
- Project scope is “Construction Of”:
 - DSA-6 from project inspector
 - DSA-6 from in-plant inspector
 - DSA-292 or DSA-6 from in-plant welding inspector
 - DSA-6 from design professional in responsible charge (Architect)
 - Electrical grounding test results (performed by the project inspector or DSA approved Laboratory. The results may be reported using DSA-6, DSA-121 or a separate report. (Any building with an electrical resistance exceeding 25 ohms must have a second grounding rod).
 - Notice of Completion from District
 - Approved Change Orders, Addenda and/or Revisions
 - Any Additional Fees

6.3.6 Relocatable Buildings constructed without DSA approval

These buildings are “nonconforming” and must be DSA certified prior to use as School Buildings as defined in the Education Code. Below are two options:

- **Option 1:** Architect/Engineer certification program. This program must be developed by a California Licensed Architect or Structural Engineer:
 - Architect identifies building manufacturer, fabrication date, serial number from tag on building. If available, also obtains any PC number or application number.
 - Architect works collaboratively with manufacturer to obtain plans for the building that was constructed. If available, also obtains any in-plant inspection reports from the RBIP (even if based upon unapproved plans or PC plans).

- Architect develops and submits a proposed inspection and testing program for the building to DSA for concurrence and approval. Supervisor shares with DSE for concurrence with the proposed program. Supervisor approves program upon concurrence. For the inspection and testing program usually requires that all gravity and lateral load path members and details be observed; some destructive testing/inspection may be necessary. We have accepted either a written detailed listing of the members and details on the plans, or a marked-up set of plans indicating the items to observe. Material testing (steel coupons, concrete tests, etc.) may be required.
 - Upon approval of inspection program, district hires a DSA approved RBIP and/or a Class 1 inspector and, as required, a welding inspector to perform the inspections of the building.
 - Inspector prepares 95% FVR (DSA-6) based upon a pending approved application & plans. This inspection occurs before plan submittal to verify that the plans being submitted are in fact applicable for that building.
 - Architect makes any design adjustments to the structure as follows and then submits plans to DSA as a “new” project. The project construction documents must comply with the current codes in effect at the time the “new” application is submitted. Note: (2001 CBC is appropriate for buildings based upon a PC design until Jan 2009).
 - Upon approval of plans, building inspector completes inspection and files 100% DSA-6 per current practice. Depending upon certification level, the building inspector could be same for site inspection; however, in that case, separate DSA-6 forms would be required (one for the site and one for the building).
 - DSA then initiates closeout (certification)
- **Option 2:** The project can be submitted to DSA as “rehabilitation of nonconforming building for school use”. This option requires a meeting with DSA prior to submittal and has specific submittal and design criteria. DSA web site has information under “publications” tab that explains the process. While the processes outlined in the publication is correct, the structural technical requirements must comply with 2007 CBC chapter 34 instead of the 2001 CBC requirements shown in the publication.

6.4 BLEACHERS

See DSA IR 16-5 for more discussion

There are two types of bleachers (Indoor and Outdoor). Each type of bleacher has its own documentation requirements. The documentation listed in Sections 6.4.1 and 6.4.2 is that required to certify the structure (bleachers). The entire project (the construction of the bleachers and placing the bleachers at the site) require that, in addition to the documents listed in Sections 6.4.1 and 6.4.2, the following be submitted:

- DSA-6 from project inspector
- DSA-6 from design professional in responsible charge (Architect)
- Notice of Completion from District
- Approved Change Orders, Addenda and/or Revisions
- Any Additional Fees

DSA evaluates the documents listed in Section 6.4 for acceptance. This is due to inconsistencies and the fact there may be more than one bleacher or bleacher type under a specific application.

6.4.1 Indoor folding (telescoping) bleachers

These bleachers are permitted be self-certified by the manufacturer per DSA IR 16-5. The documents required, for certification, for in-plant inspection are listed below and must be included in the self-certification documents provided by the manufacturer:

- Welder Certification:
 - With each bleacher, the manufacturer is required to send DSA a verified report made by a qualified professional engineer, stating the following: "Welds on this bleacher have been made by operators who have been previously qualified by tests, as prescribed in the Qualification section of the Structural Welding Code of the American Welding Society, to perform the type of work required. I have selected a person qualified to act as welding inspector. I certify him to be experienced in inspection of arc welds on work requiring unquestioned reliability, and that he has the ability to distinguish between sound and unsound welding."
- Welding Certification:
 - With each bleacher, the welding inspector will send DSA a verified report stating: "I have checked the equipment and find it adequate and have checked the ability of the welders and found them satisfactory. I have inspected all the welding and find it proper and in conformity with the plans and specifications and CBC, Chapter 22A. I have used all necessary tests to assure myself of the adequacy of the welding."
- Lumber Certification:
 - A qualified professional engineer may certify that the lumber used in the bleachers conforms to the grades and other requirements called for in the approved plans and specifications.
- Steel Certification:
 - A qualified professional engineer may certify that the steel used in the bleachers conforms to the grades and other requirements called for in the approved plans and specifications.

6.4.2 Outdoor bleachers

These bleachers are certified by an independent inspector employed by the testing lab or directly by the school district.

DSA-292 or DSA-6 from an AWS/CWI certified inspector covering shop welding and fabrication inspection.

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Appendix A: On-Line Resources

The DSA website is a ready source of project-specific information drawn from DSA's Tracker database. Tracker has records for all projects submitted to DSA for plan review since 11/12/1997.

1. Start at the DSA home page www.dsa.dgs.ca.gov
2. Click on **Project Tracking**
3. Click on **Project Status**
4. or go directly to <https://www.apps.dgs.ca.gov/tracker/ProjectStatus.aspx>
5. Search for project records by Application Number or by County/School District

Example: Search for DSA Application Number 04-105900 to see the following Application Summary:

Tracker - Application Summary - Microsoft Internet Explorer

Address: <https://www.apps.dgs.ca.gov/tracker/ApplicationSummary.aspx>

GOVERNOR SCHWARZENEGGER
Visit his Website

Application Summary

Office ID: 04 Application #: 105900 File #: 30-51

Project Name: Marjorie Veeh Elementary School

Project Scope: Construction of (1) toilet bldg R Alteration to ADMIN BLDG. A, M.P. BLDG. H, AND (5) C.R. BLDGS. B, C, D, E & F (ALL BLDGS. A# 22843)

Address: 1701 San Juan Street

City: Tustin **Zip:** 92782

PTN #: 73643-18 **OPSC #:** **# Of Incr:** 0

Project Type: SCHOOL (K-12) **Project Class:** Class 3 **Special Type:** **Received Date:** 1/29/2004

Estimated Amt: \$614,191.00 **Contracted Amt:** \$2,463,150.87 **Change Order Amt:** \$56,994.55

Adj Est. Date #1: **Adj Est. Amt #1:** **Adj Est. Date #2:** **Adj Est. Amt #2:** **Appr. Date:** 6/4/2004 **Appr. Ext. Date:** **Closed Date:** 7/18/2008

☐ Incomplete Submittal **Complete Submittal Received Date:** **SB 575**

☐ New Campus ☐ Modernization

Required Included In Plan **Auto Fire Detection** **Sprinkler System**

☐ ☐ ☐

Required review services ☒ Fire & Life Safety ☐ Energy Plan Review

☒ Access Compliance ☒ Field Review ☐ CCS Review

☒ Structural Safety ☐ Incremental Review

Special review type ☐ Class 3 Reduction ☐ Concurrent Review

☐ ☐ ☐

TRACKER LINKS

Project Status

- Home
- Application Summary
- Project Fee
- Project Schedule
- Service Review Status
- Field Review Status
- Addenda
- Change Orders
- Deferred Approvals
- Revision
- Project Professional
- Project Closeout
- Documents Required List

6. Follow the various **Project Status** categories under the **Tracker Links** in the left-hand column.

Example A: Click on **Project Closeout** and notice that this project was closed on 7/18/08 and the Closing Letter Type is a #3-Close of File w/o Certification-Exceptions.

Tracker - Project Closeout - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Go Links

Address <https://www.apps.dgs.ca.gov/tracker/ProjectCloseout.aspx>

GOVERNOR SCHWARZENEGGER
Visit his Website

Project Closeout Status

Office ID: 04 Application #: 105900 File #: 30-51

Project Name: Marjorie Veeh Elementary School

Project Scope: Construction of (1) toilet bldg R Alteration to ADMIN BLDG. A, M.P. BLDG. H, AND (5) C.R. BLDGS :B, C,D,E & F (ALL BLDGS. A# 22843)

Field Engineer: Green, Michael

Engineer Recomm. Date:

90 Day Letter Date: 5/13/2006 90 Day Exp. Date: 8/11/2006

90 Day Ext. Date: Ext. 90 Day Exp. Date:

Closed Date: 7/18/2008 Closed Letter Type: #3-Close of File w/o Certification - Exceptions

1st Revised Closed Date: 1st Revised Letter Type:

2nd Revised Closed Date: 2nd Revised Letter Type:

Back to Top Help Contact Us Site Map

Done Internet

Example B: Click on **Documents Required List** to view the documents required for project certification and whether or not they have been received by DSA. Use the following key to understand the notations:

RR - Required and Received by DSA

RM - Required but Missing from DSA files

Notice that the Laboratory Affidavit and reports for engineered fill, batch plant inspection and shot pin testing are missing from the DSA project file.

Tracker - Documents Required List For Project Certification - Microsoft Internet Explorer

Address: <https://www.apps.dgs.ca.gov/tracker/ProjectRequiredDoc.aspx>

GOVERNOR SCHWARZENEGGER
Visit his Website

DGS LINKS

- DGS Home
- DSA Home
- DSA News

TRACKER LINKS

Project Status

- Home
- Application Summary
- Project Fee
- Project Schedule
- Service Review Status
- Field Review Status
- Addenda
- Change Orders
- Deferred Approvals
- Revision
- Project Professional
- Project Closeout
- Documents Required List**

Documents Required List For Project Certification

Office ID: 04 Application #: 105900 File #: 30-51

Project Name: Marjorie Veeh Elementary School

Project Scope: Construction of (1) toilet bldg R Alteration to ADMIN BLDG. A, M.P. BLDG. H, AND (5) C.R. BLDGS. B, C, D, E & F (ALL BLDGS. A# 22843)

RR	DSA Record Set of plans		Shop Welding Fab
			Field Welding
RM	Laboratory Affidavit		High Strength Bolt Inst
RR	Notice of Completion		Glulam Fab
RR	DSA-102		
	DSA-5 (General Inspector)		Manufact. Trusses
	DSA-5 (In-plant)	RM	Engineered Fill
	DSA-5 (Assistant)		Bleacher Fab
	DSA-5 (Masonry)		Pre stress
	DSA-5 (Welding)	RM	Batch Plant
	DSA-5 (Site)	RM	Laboratory
	DSA-5 (Other)		
RR	DSA-6 (General Responsible)		Auto sprinkler System DA
RR	DSA-6A/E (Architect)		Smoke Ventilator DA
RR	DSA-6A/E (Electrical Engg.)		Wheelchair Lift DA
RR	DSA-6A/E (Mechanical Engg.)		Basketball Backstops DA
RR	DSA-6A/E (Structural Engg.)		Bleacher(s) DA
RR	DSA-6 (Contractor)		Access Floor Systems DA
	DSA-6 (General Inspector)		Skylight(s) DA
	DSA-6 (In-plant Inspector)		
	DSA-6 (Site Inspector)		
	DSA-6 (Other Inspector 1 (if any))	RM	shot pins
	DSA-6 (Other Inspector 2 (if any))		

Example B, cont'd

The Documents Required List for more recent projects has a revised format. See the following list with the revised format from a different project:

Notice here the missing form DSA-102, Contractor's form DSA-6, Notice of Completion, Architect's form DSA-6 A/E and the Project Inspector's form DSA-6.

Tracker - Documents Required List For Project Certification - Microsoft Internet Explorer

Address: <https://www.apps.dgs.ca.gov/tracker/ProjectRequiredDoc.aspx>

GOVERNOR SCHWARZENEGGER
Visit his Website

Documents Required List For Project Certification

Office ID: 04 Application #: 107574 File #: 30-51

Project Name: Currie Middle School

Project Scope: Alteration to CR BLDGS'400', '500', '600', '800' (A-34685), '700' (A34683), ADMIN BLDG (A-34020), MP BLDG (A-34020)

[Contracts](#)

Contract #	Name	DSA-102 Received Date	DSA-6 Date Signed	N.O.C Date Completed
Note: DSA-102 required for each contract including construction managers. DSA-6 and N.O.C. required for each contractor excluding construction managers.				

[Design Professionals DSA-6 A/E](#)

Design Professional	Name	Date Signed
Architect	Robert Simons	

[General Inspectors DSA-6](#)

Type	Name	Date Signed
Project Inspector		

Dates indicate the item or document has been accepted. A blank field indicates either a missing or rejected item or document. Explanations regarding the rejection of a received item or document can be found in the Notes section. Only unapproved change orders appear on this page. To view all change orders go to DSA's web site at www.dsa.dgs.ca.gov

[Back to Top](#) [Help](#) [Contact Us](#) [Site Map](#)

Done

Example C: Click on **Change Orders** to view a list of change orders received by DSA and their review/approval status. For more information on a particular change order, click **select** opposite the change order in question. For example, see the detailed information for the selected Change Order #14 at the bottom of the change order list below. Notice that the change order is shown to be under DSA structural safety review as of 8/18/2008.

Similar lists of addenda, deferred approvals and revisions may be viewed by clicking on the corresponding links on the left hand column.

Tracker - Change Orders - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address <https://www.apps.dgs.ca.gov/tracker/ChangeOrders.aspx> Go Links

Visit his Website

DGS LINKS

- DGS Home
- DSA Home
- DSA News

TRACKER LINKS

Project Status

- Home
- Application Summary
- Project Fee
- Project Schedule
- Service Review Status
- Field Review Status
- Addenda
- **Change Orders**
- Deferred Approvals
- Revision
- Project Professional
- Project Closeout
- Documents Required List

Office ID: 04 Application #: 105900 File #: 30-51

Project Name: Marjorie Veeh Elementary School

Please select the Change Order which you want to review

	Change Order #	Received	Approved	Contractor
select	1	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	10	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	11	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	12	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	13	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	14	08/12/2008		Douglas E. Barnhart, Inc
select	2	09/20/2006	03/27/2007	Douglas E. Barnhart, Inc
select	3	09/20/2006	01/16/2008	Douglas E. Barnhart, Inc
select	4	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	5	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	6	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	7	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	8	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	9	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc

Change Order #: 14 Cost: \$846.00

Description: 8-12-2008 RECEIVED (2) CO 14.

Contractor: Douglas E. Barnhart, Inc

Received Date: 08/12/2008 Approval Date: Canceled Date:

Access Review	Fire & Life Safety Review	Structural Safety Review
Status: <input type="text"/>	<input type="text"/>	Reviewing
Date: <input type="text"/>	<input type="text"/>	8/18/2008

[Back to Top](#) [Help](#) [Contact Us](#) [Site Map](#)

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Internet

Appendix B: Relocatable Buildings

Many relocatable buildings are not DSA certified. School districts sometimes desire to move these buildings or desire to certify them in place. The following scenarios and associated criteria determine project approved. (To be used for single story relocatable buildings only).

1. Relocate new building from stockpile and building is certified by DSA
 - IR 16-1 applies
2. Relocate new building from stockpile. Stockpile application is approved by DSA but building is not certified.
 - IR 16-1 applies
 - Superstructure must have been constructed using an appropriate approved DSA application for construction (not a PC).
 - Client must provide final verified reports (DSA-6 form) from the in-plant inspector (RBIP or Class 1) and from the in-plant welding inspector (AWS/CWI) by time of close of submitted project
3. Relocate existing building from a school site and building is certified by DSA
 - IR 16-1 applies.
4. Relocate existing building from a school site and building is not certified by DSA
 - IR 16-1 applies.... and.....
 - Option 1**
 - Superstructure must have been constructed using an appropriate approved DSA application for construction (not a PC).
 - Client must provide final verified reports (DSA-6 form) from the in-plant inspector (RBIP or Class 1) and from the in-plant welding inspector (AWS/CWI) before stampout of submitted project
 - Option 2**
 - Building has been previously DSA certified at any site during its entire existence.
 - Option 3**
 - Only previous site issues have caused the building to not be certified and once the building is relocated then those issues become mute. Such issues could include: grounding, no DSA-6 from the site inspector, ramps, foundation issues, etc.
5. Building is already on site and is not DSA site certified.
 - IR 16-1 applies
 - The superstructure must be DSA certified or certifiable by any of the methods noted above in this document.
 - All foundation work must comply with the current codes. The plans must show all components/information/details as if the building had not yet been placed on the site. The plans may include a note for the contractor to "verify and modify as required".
6. Building is not DSA certified or certifiable by any of the methods noted above.
 - Building is considered "non-conforming" to Title 24 and the Field Act. And any use as a school building is prohibited until the building is DSA certified.

Appendix C: DSA File Organization

1.9 Paper Files:

DSA files documents into two files; Red file and Black file. The Red file contains plan review documents and technical construction documents. The Black file contains administrative and closing documents. These files may be made available to the public upon request such that the public can review the files for documents.

Below is a listing of documents in each respective file:

BLACK FILE	
Form Number/ Document Name	Description
DSA-1	Application (or ORS-1 or SSS-1 for older projects)
DSA-1.DEL	Delegation of responsibility
DSA-1.INC	Definition of Scope of Increments
DSA-1 REVISED	
DSA 108	Change in delegation of responsibility
Plan check worksheet	Referred to as a "yellow worksheet"
Approval of plans letter	Referred to as "first approval letter"
DSA-5	Project inspector qualification record Also used for semi-monthly reports from inspectors
DSA-5A	Assistant inspector qualification record
DSA-6A/E	Verified Report
DSA-6	Verified Reports for each: Inspector, Assistant Inspector, and Contractor(s). DSA-6s can also be submitted for most special inspection verified reports, with the exception of glulam beams
DSA-102	Contract Information
Copies of Invoices and Checks	
Checklist for Site Inspection of Relocatable Buildings	For relocatables (optional)
Notice of Completion	
DSA-145	Record Set Handling Instructions
DSA-293	Geotechnical Verified Report (engineered fill)
DSA-291	Laboratory Verified Report (lab tests)
DSA-292	Special Inspection Verified Report (lists what inspection was for)
DSA Field Trip Notes	

RED FILE	
Form Number/ Document Name	Description
Plan Check Related Docs	Calculations, specs, etc.
T & I List	Structural Tests and Inspections
Lab Reports	
DSA-143	Transmittal Memo. Used as a cover sheet to Change Orders, Deferred Approvals, Revisions, Addendum, Misc., but not always. The Transmittal Memo may be missing from these documents.
Change Orders	Should have Transmittal Memo attached.
Deferred Approvals	Should have Transmittal Memo attached.
Addenda	Should have Transmittal Memo attached.
Revisions	Should have Transmittal Memo attached.
DSA-3	Project Submittal Checklist

Note: Many documents in the files do not relate to closeout, nor are required for closeout.

Appendix D: GLOSSARY OF TERMS

Addendum	A document that identifies changes or alterations of the approved plans or specifications prior to letting a construction contract for the work involved. These have no impact on cost and shall be submitted and approved by DSA.
Additional (filing) Fee	The fee which shall be paid to DSA when a contract amount, or the cumulative total of two or more contract amounts, exceeds the estimated cost by more than 30%.
Application	See DSA-1 Form.
Bleacher Fabrication Affidavit (Verified Report)	An affidavit signed by an inspector for the inspection of the fabrication of bleachers.
California Building Code (CBC)	The building code that is used in California for public schools and community colleges.
Certificate of Compliance	Upon satisfactory completion of construction, and receipt of all required documents, DSA issues a Certificate of Compliance to the school district. This letter is evidence that construction conforms to applicable requirements of the California Education Code and California Building Standards Administrative Code.
Certificate of Compliance without Receipt of All Documents	A letter of certification is issued when one or more documents have not been received, but DSA has determined that certification meets the requirements of Education Code Section 17315(b). This certification is also known as a #2 Letter.
Change Order	A document that identifies changes or alterations of the approved plans or specifications and/or changes in the contract amount after letting a construction contract.
Closed without Certification	A letter DSA issues when all or some of the required documents as listed on the 90 Day Letter have not been received from the responsible entities and therefore DSA cannot issue a Certificate of Compliance. Also known as a #3 Close Letter.
Construction Manager	A firm or individual hired by a school district to manage construction. May or may not act as a contractor.
Deferred Approval	When a portion of the construction cannot be adequately detailed on the approved plans because of variations in the product design and/or manufacturer, the approval of plans for such portion may be deferred until the material suppliers are selected. Examples would include bleachers, fire sprinkler systems, basketball backboards, etc.
Delegation of Responsibility Form	A form completed by the architect or school district to change an individual(s) on a DSA-1 application form.
Documents Required List	See Required Documents List.

DSA-1 form	Same as an application. A DSA application form submitted at the time a project is submitted for plan review and approval. A unique application number is assigned to each application.
DSA-102 form (Contract Information)	A DSA form that provides the contractor's name and the amount and scope of the construction contract.
DSA-143-1 form	A DSA transmittal form used to identify material received, returned, approved or not, and comments for Addenda, Change Orders, Deferred Approvals, Misc. Field Changes, etc.
DSA-6A/E form	A Verified Report signed by the individuals listed on the DSA-1 application form (lines 22 and 25, or lines 6 and 7 for the observation of construction on older applications).
DSA-6 form (Project/Site Inspector)	A Verified Report signed by the project inspector for the inspection of construction. These reports certify under penalty of perjury that all construction was completed in accordance with DSA approved documents.
DSA-6 form (In-plant Inspector)	A Verified Report signed by an inspector for the inspection of the in-plant fabrication of a relocatable building. These reports certify under penalty of perjury that all construction was completed in accordance with DSA approved documents.
DSA-6 form (Contractor)	A Verified Report signed by a contractor for the construction work performed. These reports certify under penalty of perjury that all construction was completed in accordance with DSA approved documents.
DSA-5 form (Building Inspector Qualification and Employment Record)	An application for DSA approval of an inspector. Note: This is not a required closing document.
District Structural Engineer	Also referred to informally as a Field Engineer.
DSE	See District Structural Engineer.
eTracker	A computer system that tracks information of applications from time of submittal to close of file.
Electrical Grounding Test Report	A report that indicates the results of an electrical grounding test for an electrical ground rod on relocatable buildings.
Engineered Fill Affidavit (Verified Report)	An Affidavit signed by a licensed Geo-technical Engineer for engineered fill tests and inspections.
Field Change Document (FCD)	A document defining changes to the code-regulated construction requirements of the DSA-approved plans and/or specifications issued after a construction contract has been approved. FCDs may include architect's supplemental instructions (ASI), instruction bulletins (BI), Field Orders (FO), constructions contract directives (CCD), etc.

Field Trip Notes (FTN)	DSA field engineers create trip notes when performing field visits to construction sites. Occasionally there will be items that need to be addressed before certification can be granted. The field engineer will provide the site/project inspector with this request and the inspector is to respond in writing, either in a semi-monthly report, separate correspondence or indicated on the final verified report that these items have been resolved or completed.
Field Welding Affidavit (Verified Report)	An affidavit signed by an AWS/CWI (An American Welding Society – Certified Welding Inspector) for the inspection of field welding.
Filing Fee	Fee which shall accompany the DSA-1 Application, or as corrected under additional filing fee.
Final Verified Report	See DSA-6. These reports certify under penalty of perjury that all construction was completed in accordance with DSA approved documents.
Further Fee	Fee which shall be paid to DSA if the actual cost exceeds the estimated cost by more than 5%. This is determined in closing.
Glulam Fabrication Affidavit (Verified Report)	An Affidavit signed by a special inspector for the inspection of the fabrication of glued-laminated beams.
High Strength Bolt Installation Affidavit (Verified Report)	An affidavit signed by a special inspector for the installation of high strength bolts.
Increment	This term refers to incremental submittals made to plan review. When only one submittal is made there are no increments. This information may be found on the yellow worksheet in the file and/or Tracker. Note that increments are NOT associated with construction phases.
I.M.S. (Information Management System)	An electronic document management system that stores documents in a central location. Plans, specifications, addenda, change orders, semi-monthly reports, transmittals, correspondence and closing documents may be found here.
Laboratory	A company that performs material testing and provides special inspections.
Laboratory Affidavit (Verified Report)	A laboratory affidavit signed by duly authorized representative stating that all tests of materials used in construction of the project were made in accordance with the approved plans and specifications.
Laboratory Reports	Material test reports and daily reports for sampling, testing, or inspection. Not to be confused with Verified Reports.
Letter of Certification	See Certificate of Compliance.
Masonry Inspection Affidavit (Verified Report)	An Affidavit signed by a special inspector for the inspection of masonry construction.
Notice of Completion (NOC)	This notice is required for each contract. It signifies that the project has been completed according to the DSA-approved plans and that it is acceptable to the School District/Owner.
PCS	See Project Closeout Specialist.

Portion (scope)	This term refers to when a portion of the entire scope of an application approved by DSA has been constructed (as opposed to constructing the entire scope)
Portion Scope Construction Certification	DSA may certify portions of the scope of a project that are completed if those portions include all aspects of construction necessary to make the affected structures code compliant (including accessibility and safety code requirements). DSA cannot certify structures that are not code compliant or structures that are incomplete.
Project	This term refers to a specific application for plan review and approval as well as construction.
Project Closeout	Upon completion of construction, project closeout is the process of reviewing documentation submitted to DSA and verifying that all work was performed and inspected in accordance with Code requirements. If documentation indicates that the construction met requirements, then DSA issues a letter of Certification of Construction to the school district.
Project Closeout Specialist	A Project Closeout Specialist, or PCS, provides administrative assistance to the DSE during project closeout.
Project Inspector	A general inspector
Relocatable Building	A building with an integral floor structure which is capable of being readily moved (relocated).
Required Documents List	Also referred to informally as the "Docs Required List" or in eTracker as the "Required Documents Report." This is a list of all documents to be submitted to DSA for project certification. The list is created during plan review and finalized during closeout.
Semi-monthly Reports	Reports signed by a project inspector regarding the status of construction and submitted to DSA every two weeks.
Shop Welding and Fabrication Verified Report	An affidavit signed by an AWS/CWI (American Welding Society – Certified Welding Inspector) for the inspection of shop welding.
Site Inspector	Note: This is an old term. Now referred to as a project inspector. An inspector for site work under a relocatable building project. Sometimes used to refer to a project inspector for a site work contract.
Special Inspector	An inspector who is approved to inspect masonry construction, glued-laminated lumber, manufactured trusses, shotcrete application, pre-stressed concrete member fabrication, post-tensioning operations, high strength bolt installation, shop welding, field welding, or pile driving. Each special inspector is required to submit an SIVR (DSA-292).
Testing and Inspection List (T&I list)	A DSA form that lists Structural Tests and Inspections that are required by the CBC.
90-day Letter	A letter that is sent to the architect and school district after the completion of construction requesting that all outstanding requirements and documents on a Documents Required List be submitted within a 90 day period to allow DSA to certify the application.

Appendix E: DSA IR A-2

California Department of General Services · Division of the State Architect · Interpretation of Regulations Document

CERTIFICATE OF COMPLIANCE WITHOUT RECEIPT OF ALL DOCUMENTS

IR A-2

Reference: California Administrative Code, Section 4-339
Education Code, Section 17315/81147

Issued 9-1-99
Supersedes IR 5-1 (3/90)

This interpretation is intended for use by the plan review and field engineers of DSA to indicate an acceptable method for achieving compliance with applicable codes and regulations. Its purpose is to promote more uniform statewide criteria for use in plan review and supervision of construction of public schools, community colleges and essential services buildings. Other methods proposed by design professionals to solve a particular problem may be considered by DSA and reviewed for code and regulation compliance.

Purpose: The purpose of this IR is to provide a procedure whereby a certificate of compliance may be issued when it is deemed impossible to collect all the required documents. This procedure may not be initiated until all efforts to obtain the required documents have failed.

1. Procedure. When all efforts to collect the required documents have failed, the school district may request in writing to the Division of the State Architect (DSA) that the provisions of Sections 17315 and 81147 of the Education Code be implemented. The request should include an explanation of how the district attempted to obtain the documents, and why the efforts were not successful. DSA reserves the right to insist upon further efforts by the district before initiating this procedure if, in the opinion of DSA, such efforts would be productive.

2. DSA Review. The architect or structural engineer will review the project with DSA. The architect or structural engineer will propose a method for satisfying the requirements for certification. The proposed method may consider, but is not limited to, the following items:

1. Exposure of portions of the construction for inspection of concealed spaces.
2. Re-inspection of portions of exposed work.
3. Performance testing of materials and/or major components or assemblies.
4. Reassignment of delegated responsibilities for field observation or inspection to other individuals who have personal knowledge of the construction within their area of responsibility.

3. Costs. The school district, at its own expense, will proceed with the examinations, tests, and/or inspections deemed necessary. The additional reports and documents will be submitted to DSA. All costs incurred by DSA in implementing this procedure will be billed to the district and will include time spent by DSA personnel. Payment must be received from the school district before DSA will issue a certificate of compliance for the project.

4. Correction of Deficiencies. Any deficiencies discovered or exposed during re-inspection or re-testing will be corrected at the direction of the school district's architect and/or structural engineer. The school district will be responsible for having this work done and completed in a timely manner. The correction work will be subject to the requirements of Title 24.

5. Certification of Compliance. The DSA Field Engineer will review the results of the examinations, tests and/or inspections. The Field Engineer will assemble all submitted documents and determine their acceptability for conformance with statutes and regulations governing public school construction. The Field Engineer will make a recommendation and the entire package will then be reviewed by the Regional Manager. A letter of certification written by the Regional Manager will indicate the basis for which it is issued.